Call for Investment Proposals
In the area of
Adult Education

FY2008-FY2010

January 26, 2007

Governor's Workforce Board - Rhode Island
Rhode Island Department of Elementary and Secondary Education
Rhode Island Department of Labor and Training
Rhode Island Department of Corrections
Rhode Island Department of Administration, Office of Library and Information Services
Rhode Island Department of Human Services
Rhode Island Department of Public Health
Rhode Island Department of Children, Youth, and Families

Office of Adult Education
Rhode Island Department of Elementary and Secondary Education
255 Westminster Street, 6th Floor
Providence, RI 02903
aerfp@ride.ri.gov

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Call for Investment Proposals
In the Area of
Adult Education

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Rhode Island has an estimated 177,000 adults in need of literacy services. There is a growing gap between the skills of the workforce and the skill requirements of unfilled jobs and the types of jobs that are expected to increase in Rhode Island.

As such, the Rhode Department of Elementary and Secondary Education (RIDE), Office of Adult Education, seeks qualified not-for-profit agencies that can contribute to the achievement of two statewide outcomes. That…

   o *All Rhode Island adults have the skills and credentials they need for upward mobility, for engaged citizenship, and for leading strong families.*

   o *All Rhode Island employers have access to a pool of workers with the skills they need to remain competitive and grow.*

At least $7 million are being made available through an outcome-based *Call for Investment Proposals* for this purpose. This *Call for Investment Proposals* is the result of a unique and effective collaboration of seven state agencies supported by the Governor's Office and the Governor's Workforce Board, incorporates input from a number of practitioner work groups and advisory bodies, and draws on the experiences of effective providers and research. It also represents input of program participants as sought by RIDE. This collaboration has led to the establishment of 7 investment priorities in three broad outcome categories:

1.   Upward Mobility & Employer Competitiveness
       * 1.1   Pathways for Disconnected Youth & Young Adults
       * 1.2   Job Pathways for Current & Former Welfare Recipients
       * 1.3   Adult Education Linked to Job/Career Pathways for Unemployed Low Skilled Adults
       * 1.4   Pathways to High School Credentials and Postsecondary Education/Training

2.   Strong Families and Communities
       * 2.1   Family Literacy
       * 2.2   Comprehensive Community-based Adult Basic Education and ESL

3.   Engaged Citizens
       * 3.1   EI Civics & Student Engagement and Leadership

Prospective grantees may choose to apply for one or more of these areas and are required to present an outcome-focused grant proposal that shows direct local contribution to state outcomes and a strong likelihood of success as evident in the design, readiness, qualifications of key people, and other aspects of the program, as presented in the proposal. Funding has been coordinated from both federal and state sources.

In responding to this *Call for Investment Proposals*, prospective applicants will develop annual participant-level targets and related milestones that can lead to these outcomes:

- Gain skills
- Attain high school credentials
- Become ready for work and college
- Find employment

- Retain employment
- Secure better employment
- Engage in community/civic activities
- Enroll in post-secondary education/training

Eligible applicants <u>must</u> submit a Letter of Intent to Bid before 4:30 p.m. on February 28, 2007 and <u>must</u> attend 1 of 2 pre-application sessions. The first session will be held in Providence at Rhode Island College in the Student Union Ballroom *on February 1, 2007 from 10:00 A.M. – 1:00 P.M. The second session will be held in Newport at the Community College of Rhode Island* on February 5, 2007 from 10:00 A.M. – 1:00 P.M. The submission deadline for proposals is 3:00 p.m. on April 2, 2007.

RIDE in coordination with its agency partners will review and evaluate proposals and enter into grant agreements with projects starting on July 1, 2007.

This coordinated *Call for Investment Proposals* represents a potential multi-year commitment of funds to awardees and a significant investment in the further development of Rhode Island's system of adult education services.

Interested applicants are strongly encouraged to obtain and read the *Call for Investment Proposals* in its entirety and focus on investment areas and outcome measures where they believe they can have the greatest impact. The *Call for Investment Proposals* contains the necessary proposal formats and forms, instructions, as well as examples of outcomes sought by the state for prospective applicants. It will be available on January 26, 2007 at:
http://www.ridoe.net/adulteducation/default.aspx

RIDE will enter into outcome-focused grant agreements with successful applicants and create ongoing opportunities for training and technical assistance, as well as the sharing of effective practices and key lessons learned by awardees during the grant period. In addition, RIDE will begin to use performance incentives and reward high-performing providers.

To make sure all interested agencies can benefit from the answers given to clarification questions, only written inquiries will be accepted. All inquiries will be logged in and posted along with responses on the website of the Office of Adult Education. Please send written inquiries to:

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Office of Adult Education

Rhode Island Department of Elementary and Secondary Education

255 Westminster Street, 6th Floor

Providence, RI 02903

aerfp@ride.ri.gov

NO TELEPHONE INQUIRIES

Directions to RIC-Student Union Ballroom
http://www2.ric.edu/campusmap/directions.php

Directions to CCRI-Newport
http://www.ccri.edu/about/Campuses.shtml#newport_county

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INFORMATIONAL BIDDERS' SESSIONS

Two Call for Investment Proposals (CFIP) informational and training sessions will be held prior to the due date of proposals to discuss and explain investment priorities, the application package, and the new coordinated outcome-oriented grants process. Due to the different style and outcome focus of this CFIP, which may be unfamiliar to some applicants, we <u>require</u> at least one representative per organization to attend one of these two sessions. To put this clearly, we will only accept proposals from organizations that registered for and attended one or both of the informational and training sessions, previously known as Bidders' Conferences.

The first session will be held in Providence at Rhode Island College on February 1, 2007 from 10:00 A.M. – 1:00 P.M.

The second session will be held in Newport at the Community College of Rhode Island on February 5, 2007 from 10:00 A.M. – 1:00 P.M.

To sign up for these sessions you **must** use the form below and must FAX your response to 401 222 4256 at least 24 hours prior to the session.

CFIP INFORMATION SESSION
Fax to 401 222 4256
(Please PRINT)

Agency/Provider_____

Name(s), Phone Number(s), and E-mail Addresses of Those Attending:
1)_____
2)_____
3)_____
4)_____

LETTER OF INTENT TO BID
(Required)

The Office of Adult Education, its agency partners, and its technical assistance partner, The Rensselaerville Institute, will be able to develop and implement an efficient process for reviewing proposals if they have an understanding of how many agencies intend to bid. Therefore, this Letter of Intent to Bid is required.

Agency/Provider_____ (Name) intends to respond to the Call for Investment Proposals FY08-FY10 for adult education services to be provided in the following community/-ies (Name and Zip Code):

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Address: _____
City/Town: _____
State: _____

Zip Code: _____

Employer Identification Number: _____
Telephone: _____
Fax: _____

E-mail: _____

Website (If Applicable): _____

Type of Organization: Please Check:
- ❑ a local educational agency (LEA);
- ❑ a community-based organization of demonstrated effectiveness;
- ❑ a volunteer literacy organization of demonstrated effectiveness;
- ❑ an institution of higher education;
- ❑ a public or private nonprofit agency;
- ❑ a library;
- ❑ a public housing authority;
- ❑ a nonprofit organization not described above that has the ability to provide literacy services to adults and families;
- ❑ a consortium of the agencies, organization, institutions, libraries, or authorities described above

OPTIONAL:
1. Our agency expects that its grant request will be between $_____ and $_____.[1]
2. Please, check all that apply to your agency:

❑ Our agency is interested in participating in the net impact study RIDE is planning and is willing to determine how participants will be selected in conjunction with RIDE and the Principal Investigators.

❑ Our agency, in the event its application is selected for funding, would like to request post-award technical assistance in the area of outcome-oriented management.

_____   _____/___/2007_____
        SUPERINTENDENT OF SCHOOLS   DATE
        AGENCY DIRECTOR/OR
        OTHER RESPONSIBLE AGENT

Please, send before 4:30 p.m. on February 28, 2007 to:

Office of Adult Education, Rhode Island Department of Elementary and Secondary Education
255 Westminster Street, 6th Floor
Providence, RI 02903

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[1] These amounts are estimates and are not binding.

TIMELINE

January 19, 2007	Announcement of Availability of Call for Investment Proposals
January 26, 2007	Release of Call for Investment Proposals
February 1, 2007 & February 5, 2007	Mandatory Bidders' Conferences (Requirement is to attend 1 of these 2 sessions)
February 28, 2007	**Deadline for Required Letter of Intent to Bid and Written Questions**
March 9, 2007	Answers to Last Questions Posted
April 2, 2007	**Investment Proposals Due**
April 3, 2007-May 1, 2007	Review of Written Applications
May 2, 2007-May 20, 2007	Interviews (As Deemed Necessary)
May 26, 2007	Recommendations Submitted to Governor's Workforce Board
July 1, 2007	Grant Agreement Letters Issued
September 30, 2007	End of Start-up Period

Call for Investment Proposals in the Area of Adult Education
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PART A. CALL FOR INVESTMENT PROPOSALS
FOR ADULT EDUCATION

I. CONTEXT AND INTENT OF THE *CALL FOR INVESTMENT PROPOSALS FOR ADULT EDUCATION*

I.1. NEED

According to data from the 2000 U.S. Census, there are slightly over 177,000 adults who make up the adult education target population in Rhode Island (i.e., they are sixteen and older, are not enrolled in school, and have no high school diploma and/or are limited English proficient). Of these 177,000 adults:

- o nearly 142,000 have no high school diploma,
- o approximately 25,000 lack a high school credential and, in addition, are limited English proficient (i.e., they reported speaking no English at all or not speaking English well), and
- o 10,500 adults possess at least a high school diploma but are limited English proficient.

In addition, estimates by various agencies suggest that every year between 3,000 and 5,000 high school dropouts and between 4,000 and 5,000 immigrants with limited English language skills are added to the target population.

Below is an estimate of the size of the target population for Rhode Island by region.

Table 1. Estimate of the size of the adult education target population for Rhode Island by region.

Region	Target Population		*No High School Diploma (Only)*	*No High School Diploma + LEP*	*LEP (Only)*	Suggested # of Agency Networks[2]
Region I Providence (Puma 00100)	42,891	24.2%	*26,253*	*12,608*	*4,030*	4
Region II Cranston, East Providence, and Johnston Town (Puma 00200)	29,081	16.4%	*25,203*	*2,480*	*1,398*	3
Region III Burrillville, Foster, Glocester, North Smithfield, Smithfield, Scituate, Woonsocket (Puma 00300)	20,097	11.3%	*18,563*	*1,064*	*470*	2
Region IV Central Falls, Cumberland, Lincoln, North Providence, Pawtucket (Puma 00400)	39,528	22.3%	*29,639*	*6,909*	*2,980*	4

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[2] Each network of agencies would target/recruit from approximately 10,000 target population members.

Region	Target Population		No High School Diploma (Only)	No High School Diploma + LEP	LEP (Only)	Suggested # of Agency Networks[2]
Region V Barrington, Bristol, Warren, Jamestown, Little Compton, Tiverton, Middletown, Newport, Portsmouth (Puma 00500)	15,340	8.7%	13,451	1,302	587	1-2
Region VI Coventry, East Greenwich, Warwick, West Greenwich, West Warwick (Puma 00600)	20,419	11.5%	19,287	444	688	2
Region VII Hopkinton, Westerly, Charlestown, Exeter, Narragansett, North Kingstown, Richmond, South Kingstown, New Shoreham (Puma 00700)	9,942	5.6%	9,429	177	336	1
Total	177,298	100.0%	141,825	24,984	10,489	17-18

Our economy needs the native- and foreign-born workers that make up the adult education target population but many of them lack the skills required to fill the large number of job vacancies in our State in high-demand industries.

This growing skills issue represents a potential economic liability for the State, since there is a growing mismatch between the skills of the workforce and the skill requirements of unfilled jobs and jobs that are expected to grow.

I. 2. SUPPLY

Our current adult education system consists of 34 agencies that receive slightly more than 70 awards enabling them to serve between 5,000 and 7,000 individuals per year. With the implementation of the recommendations included in *Building the Critical Links,* the report of Governor's Carcieri's Adult Literacy Task Force, Rhode Island has begun the process of strengthening its well-developed informal network of practitioners and is preparing to grow the system using a gradual, managed growth approach.

I.3. DEMAND

While we know what the need is (i.e., approximately 177,000 persons), we have far less precise data on demand. We know that not all 177,000 adults would step forward and enroll in services when given the opportunity. The scarce research into how many members of the target population would step forward given the opportunity suggests that anywhere between 10% and 25% of adults might step forward if they knew about the availability of services and would see the benefits of participation. This implies that Rhode Island would need to grow its system so that it would have the capacity to serve, at a minimum, between 15,000 and 20,000 adults.

Unlike the above estimate, Rhode Island does have a better sense of the demand for its services that the supply side cannot meet. In March 2005, we conducted a waiting list survey to determine how many individuals were waiting for what services and for how long. We were able to obtain reliable data for slightly less than 50% of the 34 publicly funded agencies. Based on the results from this survey, it became clear that many adults were waiting for an opportunity to build their skills. Specifically, slightly over 1,700 persons were waiting for an opportunity and 908 of these individuals had been waiting for one year or more. Most individuals were waiting for either low-level literacy or low-level ESL services. The vast majority of those waiting lived in Providence proper or the Providence vicinity.

I.4. INTENT AND APPROACH

The intent of this Call for Investment Proposals is to solicit proposals from eligible providers interested in building the skills of low-skilled Rhode Islanders so that they can become self-sufficient and so that their employers can remain competitive and grow.

I.4.1. Outcome-Based Approach

We are utilizing an outcome-based approach to this Call for Investment Proposals that enhances data use for service improvement purposes by grantees and the State and satisfies State and National Reporting System requirements. The National Reporting System (NRS) is an outcome-based reporting system for the federally funded, State-administered adult education program. It addresses the accountability requirements of the Adult Education and Family Literacy Act, Title II of the Workforce Investment Act (WIA—P.L.105–220). The NRS includes student measures to describe adult education students, assessment of the impact of adult education instruction, and methodologies for collecting the measures.

We believe that an outcome-oriented approach to both proposal development by applicants and post-award tracking and reporting by grantees, as well as use of these data in quarterly "results and learning sessions" with RIDE, can increase the focus and clarity of proposed projects, lead to improved program performance and enable both RIDE and grantees to better document the impact of this initiative. Most importantly, it will generate timely information that can be used to make necessary course corrections during the contract period.

We will utilize this "Outcome Management" framework as a tool for service improvement. We do not intend on making performance payments to grantees based upon quantifiable outcomes during the first year of this multi-year grant period. Rather, these outcome data will be used primarily as a tool for quality improvement along with other data regarding effectiveness, innovation, and quality to be used in evaluating overall project performance.

Grantees in this first year of the initiative will work with an outcome-based grant award that recognizes:

- That agencies are at different levels of experience and capacity in use of outcomes. We will provide training and technical assistance on outcome management at various stages of this initiative.

- That proposed targets and milestones represent projected numbers and informed estimates by applicants. We will negotiate performance targets with each applicant. After awards have been issued,

we will meet periodically with grantees to confirm targets and milestones and, if necessary and justifiable, adjust and modify projections during the grant period.

- That key "learnings" and effective practices generated by grantees provide opportunities for other projects to consider and improve upon their approaches. We will facilitate quarterly lessons learned sessions as part of RIDE's Leadership Institutes where we will convene grantees to discuss effective practices.

- That outcome data are best used as a tool to improve program performance.
  We will focus on the use of data to drive service improvement and increase completions.

Throughout the grant period, we will require programs to enter data in the Comprehensive Adult Literacy Information System every 15 calendar days to facilitate regular analyses of performance (i.e., progress toward targets) using real-time data. We will also conduct onsite program reviews of a sample of programs to examine compliance, quality, effectiveness, and innovation. Professional development via the Rhode Island Adult Education Professional Development Center will be provided, as well as technical assistance in outcome-oriented management to change the performance and outcomes of underperforming programs and move all programs to excellence.

As early as the first year of the grant period, we will use financial incentives such as early adopter or champion rewards and program performance bonuses. At the end of the first year, programs that meet or exceed all negotiated performance targets will be eligible for a performance bonus. For programs that are underperforming, a three-stage process will be used: (1) warning stage, (2) probation stage, and (3) termination stage. During the warning stage, a performance improvement plan will be required and RIDE-approved technical assistance will be provided or made available. In the probation stage, a corrective action plan is required that specifies what must change by when. Technical assistance is provided again. In the event the program fails to meet the objectives of the corrective action plan RIDE will move to the termination stage. In the termination stage, the program's funds will be transferred to another agency in the community. At each of these stages, RIDE will communicate the status in writing to the Executive Director/Superintendent and Chair of Board of Directors or School Committee.[3]

I.4.2. Impact Statement

The following long-term outcome or impact statement provides a vision of what will happen if Rhode Island can put in place a system that can provide high-quality services to a rapidly growing population in need of adult basic education services. Through this statement, it is our intent to provide direction and clarity regarding the type of results we expect for our participants in a compelling manner.

- *All Rhode Island adults have the skills and credentials they need for upward mobility, for engaged citizenship, and for leading strong families.*

- *All Rhode Island employers have access to a pool of workers with the skills they need to remain competitive and grow.*

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[3] These ideas were generated by the Accountability Work Group, were endorsed by the Advisory Council, and were subsequently presented to the Adult Education Task Team of the Governor's Workforce Board.

I.4.3. Statewide Baseline and Targets

To have the desired impact we stated above, we use the following statewide baseline (based on recent performance levels) and statewide targets for the FY08-FY10 performance period:

Table 2. Statewide goals, outcome measures, baseline performance data and performance targets.

Goals	Outcome Measures	Baseline	Target FY08	Target FY09	Target FY10
Increase gradually the number of adult learners participating in adult education programs	Enrollment	5,500	5,000-6,500	5,000-6,500	6,500-8,000
Increase the number of adult learners who acquire the basic or English language skills needed to complete the educational functioning level in which they were initially enrolled.	Skill Gains[4]	1,500	2,000	2,250	3,000
Increase the number of adult learners with a high school completion goal who earned a high school diploma or recognized equivalent.	High School Credentials	250	400	600	1,000
Increase the number of adult learners with recognized certificates	Standards-Based Certificates & Work Readiness/Industry Credentials	N/A	N/A	N/A	1,000
Increase the number of unemployed adult learners with an employment goal who obtained a job during the program or within one quarter after program exit.[5]	Find First/New Job	100	450	600	1,000
Increase the number of adult learners with a job retention goal who a) entered employment within one quarter after exiting and b) were still employed in the third quarter after program exit.	Keep Job	50	350	600	1,000
Increase the number of adult learners with a job advancement goal who entered higher employment during the program or within one quarter after exiting.[6]	Secure Next Job	0	50	100	250
Increase the number of adult learners who establish a goal to continue their education at the postsecondary level and who entered postsecondary education or training after program exit.	Postsecondary Education/Training Entry	50	250	350	500
Increase the percentage of adult learners engaged in and satisfied with services.	Satisfaction and Engagement	N/A	60%	75%	90%

To explain these targets further, the State of Rhode Island wants to see the following returns to its adult education investments:

- o **Skills Gained.** We want to substantially increase within each given year of the three-year performance period the skills of eligible Rhode Islanders. We expect that across all agencies participants will increase their skills in such a way that they have completed an Educational Functioning Level (EFL) or advanced one or more EFLs. These skill gains must be determined through pre- and post-testing using one of OAE's approved standardized tests and must be done according to procedures established in OAE's assessment policy. At a minimum, 70% of participants must be pre- and post-tested. This

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[4] The base year percentage is 27%. The percentages for FY08 are 31%-40% and they are 35%-45% for FY09 and 38% and 46% for FY10.
[5] For NRS purposes, the time of measurement is the quarter after exit only. In the event that TRADE funding is used to support displaced workers, then the entered employment expectation is that individuals be employed within the quarter post-exit.
[6] Our intent is to get more employed adults engaged in learning skills that will allow them to access jobs that either pay more, involve higher levels of skill and responsibility, or are the next job in a career pathway toward meaningful and rewarding employment.

represents a ten percentage point increase from the expected rate for Fiscal Year 2007. For various reasons beyond the scope of this Call for Investment Proposals, we promote more than two skill assessments per year in order to be able to identify and explain growth over time. Applicants should be aware that more stringent funding-specific requirements may exist for programs such as TRADE or Even Start.

o **High School Credentials Attained.** We want to considerably increase within each given year the number of participants that obtain a high school diploma or equivalent such as the GED or External Diploma, as these credentials have (varying) signaling functions in the labor market and facilitate access to postsecondary education and advanced training. We are further interested in making sure that participants preparing for the tests associated with these credentials in Adult Secondary Education programs have the opportunity to increase their skills beyond the minimum level required to pass the associated examinations so that they increase their college and work readiness.

o **Jobs Found.** We want to increase the number of unemployed participants setting entered employment goals within each given year in order to increase the entered employment rates. Our intent is to get more unemployed adults placed in jobs either during or after the program. We are particularly interested in supporting participants in finding ways to signal work readiness and finding their first jobs preferably in high-demand sectors of our economy. These sectors are described in detail by the Rhode Island Department of Labor and Training and include (but are not limited to) health care, leisure and hospitality, information technology, advanced manufacturing, and financial services.

o **Jobs Kept.** We want to increase the number of employed participants setting retained employment goals within each given year in order to increase retained employment rates. Our intent is to support more employed adults that need to build their skills to meet increasing job skill requirements so that they can keep their jobs as a result of and after the program. We are particularly interested in supporting participants in jobs in high-demand sectors of our economy.

o **Advancement in Jobs.** We want to begin to establish job advancement goal setting (which had not been an expectation of adult education programs before) and increase over time the number of employed participants setting job advancement goals. Our intent is to get more employed adults engaged in learning skills that will allow them to access jobs that pay more, involve higher levels of skill and responsibility, or are the next job in a career pathway toward meaningful and rewarding employment. We are particularly interested in supporting participants in career ladder or sector-based education and training initiatives in high-demand sectors of our economy, education opportunities for workers at small businesses, small business alliances, or small business that are part of the supplier network of larger companies, or education and training opportunities tied to holistic local economic development efforts including job creation and micro-enterprise development initiatives. Examples of such initiatives are the Governor's Workforce Board Industry Partnerships, the United Way's Skill Up Rhode Island Initiative partnerships, and the Providence Mall Skills Center.

o **Enrollment in postsecondary education or training.** We must increase the number participants that set postsecondary enrollment, persistence, and completion goals and increase manifold the number of participants who continue on after they complete their Adult Secondary Education, English for Speakers of Other Languages, or Transition or Bridge Programs. Not only does Rhode Island produce insufficient GEDs and External Diplomas or EDPs (i.e., there is an ASE leak in the pipeline), it further

does a poor job at successfully transitioning those who recently obtained these credentials into postsecondary education or advanced training those who recently obtained these credentials.

- o **Participant satisfaction and engagement.** Rhode Island currently has no data that show to what extent adult education programs engage participants; nor does it have data on whether participants are pleased with the services they receive. We are interested in identifying satisfaction and engagement measures, establishing baseline data, and in continuously improving engagement and satisfaction levels. At a minimum, these measures should allow us to find out if participants feel welcome and respected, are treated with dignity, have multiple opportunities to be engaged in programs besides classroom participation, feel that services are responsive to their needs, abilities, and learning styles, and feel satisfied with the quality of services.

With the exception of the last measure, these outcome measures align well with the Indicators of Core Performance, as required by Section 212 [a] of the Adult Education and Family Literacy Act. The last measure, as permitted in Section 212 [b] reflects the State Eligible Agency's additional performance measure of interest. All performance targets based on these measures will be set through a negotiation process between successful applicants and the State, as represented by RIDE's OAE. As a result, each award recipient will have specific annual performance targets. These targets, taken together, will allow the State to meet its performance targets, as established every year in spring through negotiations with the U.S. Department of Education, Office of Vocational and Adult Education (Division of Adult Education and Literacy).

I.4.4. Investment Approach

We are seeking investment proposals from eligible local adult education providers or partnerships between providers that will allow the State to achieve the outcomes we listed above. We are committed to ensuring that all eligible providers have direct and equitable access to apply for grants under this Call for Investment Proposals (as required by Section 231 (c) of the Adult Education and Family Literacy Act). We expect to make investments in not less than 30 and likely not more than 50 agencies or partnerships between agencies statewide. Investments or awards are likely to cover a broad range from $60,000-$1,000,000 per agency. It is important to keep in mind that we are **not bound by any estimates presented** in this Call for Investment Proposals.

To ensure adequate resources to deliver positive outcomes and efficiency, it is our priority to make grants that will allow all eligible providers to be successful. While all fund requests from eligible providers will be considered, priority consideration will be given to investment requests greater than $60,000[7]and to proposals that target at least 50 eligible participants per year. Priority consideration will also be given to services that meet for 4 or more hours per week and for 30 or more weeks per year. These programs will provide 6,000 or more planned student/participant hours per year (with the exception of volunteer 1-on-1 tutoring programs for which intensity of 2 hours per week and a minimum of 3,000 student instructional hours are priority considerations). Investments below these levels might not be cost-efficient and might not allow providers to support learners well.

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[7] Each investment or award will include a base amount of $40,000 and an amount that is related to the proposed design and outcomes. In the evaluation of requested funds, reviewers will determine if the requested funds are adequate and reasonable. They will do this by examining the average cost per student instructional hour. If this cost falls between $7.5 and $12.5 per student instructional hour, then the resources are deemed adequate and the request is considered reasonable. In the event the average student hour instructional cost falls outside of this range, then applicants need to explain why and may be contacted by reviewers to elaborate on their justification.

Subject to availability of funds and (re-) authorization of applicable federal and state statutes, our statewide investments will be at least $7 million and might be as high as $10 million or more. These investments represent pooled cash and in-kind resources contributed by the following agencies: the Rhode Island Office of the Governor, Governor's Workforce Board – Rhode Island, Rhode Island Department of Elementary and Secondary Education, Rhode Island Department of Labor and Training, Rhode Island Department of Corrections, Rhode Island Department of Administration, Office of Library and Information Services, Rhode Island Department of Human Services, Rhode Island Department of Public Health, and the Rhode Island Department of Children, Youth, and Families. Our primary investments come from the following sources:

- o Workforce Investment Act of 1998, Title II, funds (Federal)

- o [Selected] Temporary Assistance to Needy Families funds (Federal)

- o [Selected] Trade Adjustment Assistance (TAA) Act funds (Federal)

- o [Selected] Elementary and Secondary Education Act, Title I, Part B, Subpart 3 - William F. Goodling Even Start Family Literacy Programs funds (Federal)

- o [Designated] State General Revenue funds (State)

- o [Designated] Job Development Fund funds (State)

In making awards to agencies that have submitted competitive proposals, the responsiveness of proposals to investment priorities and funding criteria will be the primary factor in selecting proposals for funding. To the extent possible and resources permitting, however, we are interested in making sure that individuals living in communities with considerable need can access services close to where they live or work, that our overall investments will be aligned with the needs of major subgroups in the target population, and that historically underserved but growing eligible populations can access services. More specifically, we want to make sure that sufficient resources are available for services both within and outside of the Providence area. We also want to make sure that our investments in Adult Basic Education services (including Beginning Literacy up to Intermediate Adult Basic Education services), in Adult Secondary Education, and in English for Speakers of Other Languages (a.k.a., English as a Second Language or ESL) reflect to the extent feasible data on both need and demand for these services.

We predict that our investments will allow the state to recruit, assess, and enroll in learning options responsive to their needs, availabilities, and preferences between 5,000 and 6,500 eligible adults. We expect that at least one third, on entry, will have skills at the Adult Basic Education educational functioning levels (EFLs), up to one third at the Adult Secondary Education EFLs statewide, and at least one third at the ESL EFLs. We expect further that between 2,500 and 4,500 of these adults will persist throughout the year or until they achieve their goal(s).

The key principles and features of our statewide investment approach are:

Network of strategically planned services
- o Pre-application community-based assessment, planning, and alignment of services

- o Local networks or partnerships including adult education, training, workforce development/One Stop Career Center, support service, higher education, and private sector partners

Data-driven planning and outcome-oriented management

- o Data-driven designs responsive to need and demand
- o Use of targets and milestones to ensure high levels of performance and achievement of outcomes
- o Biweekly data entry into the Comprehensive Adult Literacy Information System and use of data matching and follow-up surveys to determine post-program outcomes according to State and National Reporting System requirements, schedules, and guidelines (http://www.nrsweb.org/foundations/implementation_guidelines.aspx).

Research-based instructional practices

- o Research-based, standards-driven instructional practices
- o Focus on creating multiple learning options (not just classroom instruction or tutoring) to maximize participation, persistence, and completions
- o Promotion of programs that combine or integrate education, training, work experience and support services including funding for a few demonstration projects where all components of integrated designs will be funded

Investment areas tied to State priorities

- o Investment areas tied to Governor's Workforce Board and other State priorities in the areas of economic, workforce development, and education (e.g., education tied to high-growth sectors) including but not limited to adult education for youth and for adults whose employers are participants in the Governor's Workforce Board Industry Partnerships.

Dual Customer Approach

- o Contextualized learning informed by learner needs and goals and employer demand/skill requirements

Policies to Promote Access and Success

- o Consideration of historically underserved, at-risk populations, and distribution of access points across the State.
- o Uniform policies and procedures to the extent that statutes permit
- o Performance incentives/bonuses to grow effective programs and progressive discipline and targeted technical assistance to remedy poor outcomes.

II. GIVENS

The following "givens" pertain to state and federal guidelines the Office of Adult Education operates under and cannot be reasonably changed.

The OAE must work within its mandatory parameters and invest only in adult education provided by eligible providers that serve eligible adults through the provision of eligible or allowable services.

The terms *adult education* and *eligible adults* are defined, as follows. The term adult education means services or instruction below the postsecondary education level for individuals:

- o Who have attained 16 years of age;
- o Who are not enrolled or required to be enrolled in secondary school under State law; and
- o Who
    - ▪ Lack sufficient mastery of basic educational skills to enable individuals to function effectively in society *and/or the workplace*;[8]
    - ▪ Do not have a secondary school diploma or its equivalent level of education; or
    - ▪ Are unable to speak, read, or write the English language.

In addition to these federal eligibility definitions, we consider eligible for adult education services (including transition or bridge programs funded with State funds) adults who possess a secondary diploma or its equivalent but lack the skills associated with Rhode Island's new high school graduation requirements or the State's new college readiness standards.

The term *eligible provider* means:
- o a local educational agency (LEA);
- o a community-based organization of demonstrated effectiveness;
- o a volunteer literacy organization of demonstrated effectiveness;
- o an institution of higher education;
- o a public or private nonprofit agency;
- o a library;
- o a public housing authority;
- o a nonprofit organization not described above that has the ability to provide literacy services to adults and families;
- o a consortium of the agencies, organization, institutions, libraries, or authorities described above

All eligible providers will have direct and equitable access to apply for grants through this *Call for Investment Proposals* and the same grant announcement process and application process (i.e., this Call for Investment Proposals process) will be used for all eligible providers in the State of Rhode Island and Providence Plantations, as required by Section 231 [c] of the Adult Education and Family Literacy Act.

The term *eligible services* means:
- o Adult education and literacy services, including workplace literacy services;

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[8] The phrase in italics "and/or the workplace" was added by the State. This phrase is NOT in the federal statute.

- o Family literacy services (including adult education for parents and interactive literacy activities for parent and child);
- o English literacy programs (including EL Civics services)

In addition to these federal statutory definitions of eligible services from the Workforce Investment Act of 1998, Title II, Rhode Island, for the remainder of the resources available through this Call for Investment Proposals, further considers these activities as eligible services:

- o *Transition or bridge programs* assisting those with high school credentials in the transition to postsecondary education and training (including apprenticeships). One of these programs will be expected to interface with higher education institutions on behalf of all local transition or bridge initiatives.

- o *Integrated programs* for welfare recipients, homeless adults, prisoners in reentry, dislocated workers, and incumbent workers in transition to first or new jobs and advancement in employment that combine adult education, work readiness and occupational skills training, structured work exposure activities or paid or unpaid work experiences such as internships or community service assignments, case management, wrap-around support services, career coaching, and job placement.

- o *Participant or student long-term supports* such as peer student and staff coaching, mentoring, sponsoring, and advising and student leadership development and engagement opportunities.

Federal statutes such as Title II of the Workforce Investment Act of 1998 (The Adult Education and Family Literacy Act, Section 231.(e)) require states to take into account in the awarding of grants various considerations regarding program practices. Specifically, Title II of the Workforce Investment Act of 1998 requires the consideration of these 12 elements:

(1) the degree to which the eligible provider will establish measurable goals for participant outcomes;

(2) the past effectiveness of an eligible provider in improving the literacy skills of adults and families, and, after the 1-year period beginning with the adoption of an eligible agency's performance measures under section 212, the success of an eligible providing receiving funding under this subtitle in meeting or exceeding performance measures, especially with respect to those adults with the lowest levels of literacy;

(3) the commitment of the eligible provider to serve individuals in the community who are most in need of literacy services, including individuals who are low-income or have minimal literacy skills;

(4) whether or not the program—

    (A) is of sufficient intensity and duration for participants to achieve substantial learning gains; and

    (B) use instructional practices such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read;

(5) whether the activities are built on a strong foundation of research and effective educational practice;

(6) whether the activities effectively employ advances in technology, as appropriate, including the use of computers;

(7) whether the activities provide learning in real life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship;

(8) whether the activities are staffed by well-trained instructors, counselors, and administrators;

(9) whether the activities coordinate with other available resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies;

(10) whether the activities offer flexible schedules and support services (such as child care and transportation) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs;

(11) whether the activities maintain a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the eligible agency performance measures; and

(12) whether the local communities have a demonstrated need for additional; English literacy programs.

In making grants to support the delivery of eligible services, Rhode Island views grant funds as representing 90% of the total cost. A **non-federal match** of at least 10% is required for all grants that will be made as a result of this competition. To clarify, if the total cost of a project is $100,000, then the grant request will be for $90,000 and a match of $10,000 will be required. Expenditures that can be counted as match are the same type of expenditures that are considered allowable grant expenditures. The match must be for the proposed project and cannot represent resources that already support a separate project. The total of all matching resources will allow Rhode Island to satisfy the federal matching requirement of 25%, as required by the Adult Education and Family Literacy Act or Title II of the Workforce Investment Act of 1998.

In considering serving specific subpopulations eligible for TANF or Trade Adjustment Assistance Act funds, applicants should be aware that they can propose projects exclusively focused on these subpopulations and might in the event of an award receive funds for the entire project. In addition, they can opt to serve these eligible subpopulations in other programs (e.g., x number of FIP clients in classes in a community-based program) and might receive dedicated funding for those individuals. Regardless of how these persons are served, applicants should be aware that they must comply with DHS' and DLT's requirements for these programs. For instance, a program that does not exclusively target FIP clients but provides services for which FIP clients are eligible must for these clients comply with the same requirements as a program that exclusively targets FIP clients (e.g., reporting).

III. INVESTOR STATEWIDE TARGET AREAS

These overall and statewide performance targets should tell you exactly how the targets you will propose relate to and contribute to the State's goals and expected outcomes. These overall performance targets are presented first. After that, we present the specific investment priorities we have established for this competition. Your challenge as an applicant is to clearly define how many participants will reach those targets and what changes you are committed to achieving for the people you will serve.

III.1. Overall priority and targets

Table 3. Overall investor priority areas, statewide targets, and agency targets.

Investor Priority Areas	Statewide Targets	Agency Targets (To Be Proposed by Applicants)
Increase the skills of Rhode Island adults not enrolled in school who have no high school credential or lack the skills associated with current high school graduation requirements and/or are severely limited English proficient. *30-50 agencies in 15-18 networks of strategically aligned services or learning options* *Up to $4,000,000 for adults with skills at the Adult Basic Education EFLs statewide* *Up to $2,000,000 for adults with skills at the Adult Secondary Education EFLs statewide* *Up to $4,000,000 for adults with skills at the ESL EFLs statewide*	Between 5,000 and 6,500 eligible adults in FY08-FY09 (and up to 8,000 in FY10) will be recruited, assessed, and enrolled in learning options responsive to their needs and preferences. At least 1/3 on entry will have skills at the Adult Basic Education educational functioning levels (EFLs), up to 1/3 at the Adult Secondary Education EFLs statewide, and at least 1/3 at the ESL EFLs. Between 3,500 and 4,500 of these adults will persist throughout the year or until they achieve their goal(s).[9] Between 2,000 and 3,000 at a minimum will have completed or advanced one or more EFLs. By the end of FY10, the number of annual completions will be at least 3,000.	Target 1: __ eligible adults will be recruited, oriented, and assessed and __eligible adults will be enrolled in learning options responsive to their needs and preferences. Of these adults, __ will persist throughout the year or until they achieve their goal(s). Target 2: Of these ____ eligible adults that will persist throughout the year or until they achieve their goal(s), ____ will at a minimum, have completed or advanced one or more EFLs

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[9] This statement implies that 70% of participants will persist until they achieve their primary goal.

III.2. Specific Priority Areas and Components

The specific investment priorities are stated below. Associated investment amounts are not in addition to but are part of the overall investment amounts stated above. Some of the priorities and components described below may go beyond what we are able to fund with Adult Education and Family Literacy Act resources. Other funding sources will be used to support those priorities and components. Adult Education and Family Literacy Act resources will only be used to support activities allowed under this federal statute. The activities under priorities 1.1., 2.1., 2.2, and 3.1. are all allowable under the Adult Education and Family Literacy Act. As for priorities 1.2, 1.3, and 1.4, only adult education activities as defined in the Adult Education and Family Literacy Act will be supported. The remainder of these activities will be supported with other state and federal resources where these additional activities are allowable.

Table 4. Specific investor priority areas and associated statewide and agency annual targets.

Investor Priority Areas	Statewide Annual Targets	Agency Targets *(To Be Proposed by Applicants)*
1. UPWARD MOBILITY AND EMPLOYER COMPETITIVENESS		
1.1. ADULT EDUCATION LINKED WITH PATHWAYS FOR DISCONNECTED YOUTH AND YOUNG ADULTS		
Connect or reconnect older out-of-school youth and young adults (16 to 24) with work, education and family or community *Up to $1,000,000 statewide* *Consideration of proposals from vendors submitting applications in response to the Youth RFP issued by the Providence/Cranston and Greater Rhode Island Workforce Investment Boards*	At least 500 youth and young adults will be recruited, assessed, and enrolled in standards-based adult education services. At least 250 of these 500 youth will obtain (1) a high school credential and work or (2) a high school credential and work experience and/or enroll in postsecondary education. At least 50 of those who are not yet ready for high school credential testing will have completed or advanced one or more EFLs.	Target 1: Of ___ youth and young adults enrolled in standards-based adult education services, ___ will obtain (1) a high school credential and work or (2) a high school credential and work experience and/or enroll in postsecondary education and at least ___ of those who are not yet ready for high school credential testing will have completed or advanced one or more EFLs.
1.2. PATHWAYS TO JOBS FOR CURRENT AND FORMER WELFARE RECIPIENTS		
Connect current and former welfare recipients with meaningful and rewarding work, opportunities for further learning and career pathways *Up to $1,500,000 statewide*	At least 200 current FIP or FIP eligible clients[10] with an interest in employment will be recruited, assessed, and enrolled in an integrated program that combines education, training, work experience, wrap-around supports, job placement/quality job matching, and post-hiring supports. At least 80% will set an entered employment goal.	Target 1: Of ___ current FIP or FIP eligible clients with an interest in employment enrolled in an integrated program, ___ will obtain a high school credential and work or develop work experience or community service

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[10] Some of the participants in these programs may be adults who are no longer FIP eligible but have children who are on FIP, as these adults may have unmet skill development needs and employment interests that can be met through this program. In the event such persons enroll, this will be taken into consideration when assigning specific funding to the project.

Investor Priority Areas	Statewide Annual Targets	Agency Targets *(To Be Proposed by Applicants)*
	At least 50% or 100 of these current FIP or FIP eligible clients (or 62.5% out of the 160 with an employment goal) will obtain a high school credential, develop work experience/have their first exposure to work or community service, or work. At least 25% of clients who obtained a GED or EDP through the program will continue their education or training at the postsecondary level while working.	**Target 2:** Of the ___ current FIP or FIP eligible clients that will obtain a high school credential and work or develop work experience and/or enroll in postsecondary education, ___ will continue their education or training at the post-secondary level, and of those who are not yet ready for high school credential testing, at least ___% will have completed or advanced one or more EFLs.

1.3. ADULT EDUCATION LINKED TO JOB/CAREER PATHWAYS FOR UNEMPLOYED & UNDEREMPLOYED LOW-SKILLED ADULTS

Investor Priority Areas	Statewide Annual Targets	Agency Targets *(To Be Proposed by Applicants)*
Build the skills of unemployed and underemployed adults so that they can access advancement opportunities in high-growth sectors of our economy and in local or regional economic and community development initiatives where documented job vacancies exist. *Up to $2,000,000 statewide* *Up to 3 of the selected initiatives will receive demonstration funds for some or all services offered besides adult education services. The remainder will receive funds to support adult education services that are an integral part of a comprehensive intervention.*	At least 1,000 unemployed and underemployed adults (per year) will be recruited, oriented, assessed, and enrolled in adult education services that are part of or linked with career planning and services (which commonly include access to education, training, work experience, wrap-around supports, job placement or quality job matching, and post-hiring supports). At least half of the unemployed recruited will be displaced workers (specifically those displaced as a result of foreign trade), adults in prison or in transition from prison to society, or those with little or no U.S. or Rhode Island work experience. At least 500 will have completed or advanced one or more EFLs. At least 400 unemployed adults with an employment goal in Year 1, 600 in Year 2, and 1,000 in Year 3 will obtain a job either during enrollment (State) or have a job in the quarter after program exit (NRS and State). At least 350 employed adult learners in Year 1, 600 in Year 2, and 1,000 in Year 3 with a job retention goal who entered employment within one quarter after exiting are still employed in the third quarter after program exit.	**Target 1:** Of ___ unemployed adults enrolled in adult education programs focused on occupations/careers in high-growth sectors of the economy, ___ will have completed or advanced one or more EFLs, ___ will find employment and ___ will retain employment for ___ days. **Target 2:** Of ___ underemployed adults enrolled in adult education programs focused on occupations/careers in high-growth sectors of the economy, ___ will have completed or advanced one or more EFLs,_ ___ will retain their jobs and ___ will advance (i.e. increase pay and/or move up ladder).

Investor Priority Areas	Statewide Annual Targets	Agency Targets *(To Be Proposed by Applicants)*
	At least 50 adult learners in Year 1, 150 in Year 2, and 250 in Year 3 who were underemployed upon entry and had an advancement goal will advance (i.e., they will receive an increase in pay related to their skills and/or move up the career ladder at least one step).	

1.4. PATHWAYS TO HIGH SCHOOL CREDENTIALS AND POSTSECONDARY EDUCATION		
Support adults in getting a high school credential and in the transition to postsecondary education. *Up to $1,700,000 statewide* *Up to 5 awards will be made statewide for transition services with 1 of these awards including resources for statewide coordination with postsecondary education institutions.*	At least 1,000 Adult Secondary Education participants will be recruited, assessed, and enrolled in standards-based adult education services Initially at least 400 of these participants per year and eventually up to 1,000 per year will obtain a GED or External Diploma. At least 250 of these GED or EDP recipients will enroll in transition/bridge programs or postsecondary education in Year 1, 350 in Year 2, and up to 500 in Year 3. Of these learners, at least 60% will persist and complete their first courses/programs.	<u>Target 1:</u> Of ___ Adult Second Education participants enrolled in standards-based adult education services, ___ will obtain a GED or External Diploma. <u>Target 2:</u> Of those ___ Adult Secondary Education participants that will obtain GED or External Diploma, ___ will enroll in postsecondary education in Year 1.

2. STRONG FAMILIES AND COMMUNITIES		
2.1. FAMILY LITERACY		
Engage low-income and other families (primarily those with children in underperforming urban school districts) in a comprehensive education program targeted at increasing the educational performance of both parents and the child(ren). *Up to $1,000,000 statewide*	At least 600 families will be recruited, assessed, and enrolled in an integrated family literacy program. At least 250 parents per year will have increased their educational functioning levels by at least one level and at least half of the children in any of the three years will have increased their literacy and numeracy skills and will perform at grade level expectations for the first time.	<u>Target 1:</u> Of ___ families enrolled in an integrated family literacy program, ___ % of parents will have their educational functioning levels by at least 1 level. <u>Target 2:</u> Of ___ families enrolled in an integrated family literacy program, ___ % of children will have increased their literacy and numeracy skills and will perform at grade level expectations.

Investor Priority Areas	Statewide Annual Targets	Agency Targets *(To Be Proposed by Applicants)*
2.2. COMPREHENSIVE COMMUNITY-BASED ADULT BASIC EDUCATION AND ESL		
Engage adults who face literacy, numeracy, and English language barriers in community-based comprehensive adult basic education or ESL services *Up to $2,000,000 statewide* *An estimated 10-20 awards will be made statewide with at least 2-3 awards for programs serving homeless families, at-risk families and adults, or historically underserved populations.* *At least 1 of these awards will support education and necessary support services for special populations such as those with learning disabilities.* *At least 1 award will be made to support new Rhode Islanders to move from initial, entry-level to next, professional employment and assist them with foreign credential evaluation and accelerated learning programs.* *1-2 of these 10-20 awards will be for agencies with long waiting lists interested in participating in a rigorous net impact evaluation[11].*	At least 1,700 low-skilled adults will be recruited, oriented, assessed, and enrolled in comprehensive community- and standards-based adult education services. Between 500 and 1,200 of these adults will complete an educational functioning level within a year.	Target 1: Between __ and ___ low-skilled adults will be recruited, oriented, assessed, and enrolled in comprehensive community-based adult education services. Target 2: __ of these low-skilled adults, will complete an educational functioning level within a year.
3. ENGAGED CITIZENS		
3.1. EL CIVICS AND STUDENT ENGAGEMENT AND LEADERSHIP		
Link citizens and residents with opportunities for civic engagement such as parental involvement in schools and communities. *Between $250,000 and $300,000 is available for supplemental EL Civics awards for programs serving adult English Language Learners.*	All adult English Language Learners will receive EL Civics instruction or participate as part of their instructional program in EL Civics activities At least 10% of these participants will become citizens, at least 10% percent will register to vote, and at least 60% of those with children will be actively involved in the schools of their children or in community or neighborhood	Target 1: Of ___ participants receiving supplemental EL Civics instruction, ___ will become citizens, ____ will register to vote and ____ will be actively involved in the schools of their children or in community or neighborhood organizations or initiatives.

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[11] Programs interested in these awards should be aware that the process for selecting participants and assigning them to services will be established by the researcher(s). Interested programs should include a letter with their application stating that they want to be considered.

Investor Priority Areas	Statewide Annual Targets	Agency Targets *(To Be Proposed by Applicants)*
	organizations or initiatives.	
Engage adult learners in local, regional, and statewide student and student leadership initiatives *Resources to support these activities are included in all awards that specify meaningful opportunities for engagement beyond classroom participation.*	Adult learners in all funded initiatives will have opportunities to be engaged in their programs in addition to participation in instruction and be supported by (a) peer local or regional student leader(s). For each cohort of adult learners/students, programs will provide at least one opportunity per year to students including those still enrolled and those who dropped or stopped out) to complete anonymously the Participant Engagement and Satisfaction Report Card (Survey). Overall rates will be 60% in Year 1, 75% in Year 2, and 90%in Year 3.	Target 1: ___ % of participants will be actively involved in local, regional, or state student leadership initiatives Target 2: At least _% of those enrolled at any given time during the year will complete the survey. Target 3: Overall rates will be __% in Year 1, __% in Year 2, and __%in Year 3.

IV. EFFECTIVE PRACTICES AND ASSUMPTIONS ABOUT PROMISING PRACTICES

As stated in Section II, Title II of the Workforce Investment Act of 1998 (The Adult Education and Family Literacy Act, Section 231(e)) requires states to take into account in the awarding of grants various considerations regarding program practices. This section incorporates these considerations. In addition, it includes knowledge about effective (i.e., research-based) practices and assumptions about promising practices in the provision of adult education services that may serve as a guide for you and are offered in the spirit of assisting you in developing a quality and outcome-oriented project proposal. They reflect national and state research and represent what has been learned over the years regarding adult education programs and policies for agencies serving people with basic skill development needs. We recognize that the research on effective practices in adult education is not yet conclusive regarding which models are superior and, consequently, are open to new approaches and promising innovations within federal and state statutory requirements.

- **Community planning and coordination to ensure networked services that are aligned in response to need and demand.** It is important to plan and coordinate with other available resources in the community to avoid unnecessary duplication, maximize the number of learning options and supports services available, and closely align services available in the community. We believe that strong links with elementary schools and secondary schools, career and technical education initiatives, postsecondary education institutions, one-stop career centers, job training programs, social service agencies, and employers and their labor partners (where applicable) will facilitate creating pathways for continued learning in communities. Promising practices in this area are (1) a clear and shared definition of community, (2) pre-application community assessment of need (target population), demand (long-term waiting lists; waiting periods of more than 6 months), and supply (available services), (3) clear evidence of contribution to core services of the One Stop Career Centers wherever possible, and (3) Letter(s) or Memorandum(-a) of Understanding or Agreement between various providers in community (e.g., articulation agreements).

- **Pathways designed for continued learning** We are interested in expanding learning options or designs built on a strong foundation of research and effective educational practice aimed at persistence (including options during classroom stop-out periods) and completion, including but not limited to:
  - classroom-based instruction,
  - 1-on-1 tutoring (initial primary instruction for those on waiting lists, for those uncomfortable with classroom settings, and for those temporarily stopped out of classroom instruction and supplemental instruction for those in classrooms),
  - staff-assisted learning resource or tutoring drop-in centers,
  - staff-assisted distance learning or technology-based classroom initiatives,
  - other staff-assisted technology-based and other learning arrangements.

  At a minimum, we would like to see in each community a minimum sequence of 4 staff-assisted learning options from most basic ABE/ESOL Literacy to ASE/Low Advanced ESOL and transition/bridge-to-college programs to make sure learning upon completion or upon change in life circumstances is not interrupted and offered at program directly or accessible elsewhere in community via partnership agreement(s). We are further interested in adult education and transition-to-college or bridge programs focused on college readiness and college enrollment, persistence, and completion including education and support services deemed necessary

according to transition-to-college research. We further want to make sure that we invest in opportunities to learn year round in response to learner needs and availability and in exploring the notion of dividing instructional sequences in meaningful segments (e.g., semesters) to promote cohort- or learning community development, persistence, and completion starting in fall where possible.

As implied in the above learning options, we will continue to support 1-on-1 volunteer tutoring services. We are interested in volunteer tutor programs that can provide primary instruction (either 1-on-1 and in small groups) for those not yet ready for classroom instruction or those not able to participate in classroom-based instruction, for those on waiting lists, and for those who had to stop out due to changes in work or life circumstances. We are further interested in volunteer programs that provide supplementary instruction to increase time on learning tasks for those in classrooms taught by paid professionals. Finally, we acknowledge that for the vast majority of volunteer organizations the continuation of support from the statewide organization is useful and will entertain proposals from such organization.[12]

- **Type, intensity and duration of services for eligible adults** We want to invest in Adult Basic Education, Adult Secondary Education, English for Speakers of Other Languages, and (supplementary) English Literacy Civics services for adults 16 and older who are not enrolled in school, lack a high school diploma or the skills associated with it, and/or are limited English proficient. We also want services that are of sufficient intensity and duration to increase time on task and produce learning gains, Specifically, we seek to invest in capacity to serve at least 50 students, offer at least 30 weeks of instruction (with exception of work-based learning projects) and up to 48 weeks preferably, not less than 4 hours per week with a minimum of 2 hours per week (on average) for 1-on-1 tutoring that is primary instruction and up to 15 hours per week or more if feasible or required (e.g., welfare participants[10-30];[13] TRADE [20], or Even Start [15]), and a minimum of 6,000 student hours (3,000 for 1-on-1 tutoring that is primary instruction).

- **Flexible schedules and support services.** We wish to make an investment where needed in flexible scheduling and support services (such as child care and transportation) that are necessary to enable individuals (including individuals with disabilities or other special needs) to attend and complete programs. At least one award will be made where comprehensive support services will be funded.

- **Pathways designed to reconnect youth and young adults with education, work, and family.** We are committed to investing in adult education services that are integral parts of pathways of youth services and are particularly interested in proposals for adult education services for youth linked to the providers selected for youth services through the Providence/Cranston and Greater Rhode Island Local Workforce Investment Boards. Through this Call for Investment Proposals, we hope to support appropriate educational services for youth and young adults. These youth and young adults may receive other services funded through, for instance, the grants made available by the two Local Workforce Investment Boards.

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[12] As discussed elsewhere, volunteer tutoring programs, too, will receive an award that is made up of a base of $40,000. In addition, they can request $10,000 if they manage 10-20 tutors; $20,000 if they manage 21-40 tutors, and $30,000 for 41 or more tutors. Programs are encouraged to consider budgeting for a paid Literacy Specialist. Volunteer tutoring programs, as all other programs, will negotiate performance targets with RIDE.
[13] FIP participant's weekly hours can vary due to differences between federal and state laws from 10 to 30 hours per week. DHS prefers the 10+ 20 model with 20 hours of some type of work activity in combination with 10+ hours of adult education.

- Pathways designed to promote upward mobility of unemployed and underemployed adults. We are interested in integrated services where adult education is linked to other services participants may need to achieve their goals. Integrated services for unemployed adults (such as welfare recipients and dislocated workers) including adult education, training, structured work experiences, work readiness training and assessment, job development and job placement/quality job matching, post-job placement follow-up supports, case management/coaching for welfare recipients offered either through program as part of design or via partnerships under Project Opportunity, as documented via partnership agreements of MOUs and matching resources. In addition, we wish to invest in adult education services representing a necessary and integral component of sector- and community-based pre-employment and incumbent worker career ladder or job advancement initiatives such as Skill Up Rhode Island, Governor's Workforce Board Industry Partnerships, local holistic economic development partnerships and initiatives designed to support one or more small businesses or skills centers serving specific sectors.

- Pathways for chronically underserved and special populations. This includes services for special populations such as homeless or disabled adults that have tailored service plans and performance expectations for special populations including low-income students (e.g., parents at or below poverty level, homeless adults), individuals with disabilities, single parents/displaced homemakers, and individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency

- Pathways to stronger families and communities. Our investment interest includes services for parents and children including family literacy activities, adult education for parents/adults, early childhood activities and other activities for pre-school and school-age children, interactive literacy activities for parents and children, and, where feasible or necessary, home-based activities. We will fund all components that involve the adult parent. We cannot fund early childhood activities that do not involve the parent. We can and will fund interactive literacy activities where parent and child engage in learning together. Applicants interested in operating Even Start Family Literacy services must meet all the requirements of the Goodling Even Start Family Literacy Act (Elementary and Secondary Education Act Title I).

- Local program policies that promote participation, attendance, persistence, and completion. We would like to see the following practices in place:

  o Orientation, intake, assessment, goal setting, and enrollment/persistence policies and practices that promote participation, attendance, persistence, and completion, as described in OAE policies;[14]
  o Commitment to admitting/enrolling those who are motivated and supported to persist and to finding solutions for others;
  o Learning disabilities screening, as described in Statewide Learning Disabilities Plan;
  o Exposure to and use of Rhode Island RED data to assist all of our participants in developing knowledge of available career options to be used in (career) goal setting. The website address for this service is: http://www.dlt.ri.gov/rired/;

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[14] Orientation and intake activities may be for as many as 25 hours.

- o   Exposure through field trips, guest speakers, or other means to any of the netWORKri One Stop Career Center sites.

- **Qualified staff.** We are interested in investing in well-trained and highly supported instructors, counselors, and administrators. We would like that all new staff complete the new staff orientation and have taken introductory NRS online courses (15-30 hours). We also expect staff to have an individual professional development plan and paid opportunities for professional development on policies and standards (estimated at 50 hours per year at a minimum). We also expect that staff have joint paid time for curriculum development, lesson planning, student performance analyses and instructional and program improvement activities (estimated at 1 hour per week, on average). We expect that all local staff be trained in content standards by the end of FY08 and that they have individual paid time for preparation, assessment, follow-up activities, and other noninstructional tasks.[15]

- **Partnerships for learning disabilities.** We wish to make available resources (people or dollars) needed to support teachers of adults with learning disabilities in screening, assessment, and instruction through the Professional Development Center. In addition, we want to encourage applicants to hire staff with expertise in this area and/or engage in partnerships with agencies that have staff with this expertise.

- **Measurable participant goals and outcomes.** Short-, mid-, and long-term goals are set with participants. All participants with 12 or more hours of instruction must have goals. At least 40% of those unemployed must have an entered employment goal that can be achieved during the year. At least 40% of those employed must have a retained employment goal. At least 40% of those employed must have a job advancement goal (i.e., expanded responsibilities or higher pay due to skill gains). All those with skills at the high ASE level must have a high school credential goal. At least 40% of those with a high school credential goal must have a postsecondary enrollment goal. At least 80% of those on welfare must have an entered employment goal. Performance targets are negotiated and agreed upon with OAE and must be met, especially those for adults at the lowest levels of literacy. Performance targets (e.g., % of those with entered employment goal) may vary by specific funding stream and may be higher than the minimum percentages stated (e.g., TRADE).

- **Participant peer supports.** We are interested in providing funding for supports for participants to maximize participation, attendance, persistence, and completion. Such supports include various program-based mechanism(s) or activities for participant engagement and leadership and participation by all participants in a statewide participant engagement and satisfaction survey. Applicants may work together to support one student leader per region (FY08) but should be aware that eventually we would like to see one student leader per program (FY10). Resources can support student leaders to interact with participants and with their peers at other programs and regional and statewide student leader contacts and/or to support regular access to mentor, coach, sponsor, or peer advocate for all participants in the program.

- **Instructional practices.** We want to prioritize investments in programs that use instructional practices that research has proven to be effective in teaching adults, particularly (1) instructional

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[15] Between 0.5 and 1.5 hours for every teaching hour is considered sensible.

practices proven to work in teaching adults to speak, read, write, and use math to solve problems (e.g., phonemic awareness, systematic phonics, fluency, and reading comprehension); (2) instructional practices proven to be effective in serving ESL literacy students, and (3) instructional practices proven to work in serving adults with learning disabilities. We expect standards-based curriculum and learning resources that are contextualized and age appropriate (e.g., ESL for the Hospitality Industry). We further expect that learning will be facilitated drawing on real-life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of parenting and citizenship (e.g., literacy for health). We encourage the use of formative/informal assessments to provide participants and teachers with ongoing feedback.

- **Learning environment and facilities.** We only want to make investments in programs with learning environments that are accessible by all, safe, healthy, respectful, and conducive to adult learning (e.g., have adult tables and chairs, adequate lighting, temperature, ventilation, and repair of facilities) and are ADA-compliant.

- **Program management and information management.** We wish to invest in outcome-oriented administrative or management practices. In addition, we expect that:
    - all proposed costs are allowable and necessary, as per relevant statute(s);
    - administrative costs are reasonable and necessary and do not exceed 5% (Tier I), 8%-10% (Tier II), or a higher percentage to be decided by RIDE's Office of Finance and Office of Adult Education based on a joint review of an auditor- or accountant-approved cost allocation plan (Tier III);
    - data on all participants, staff, and activities are entered into the Comprehensive Adult Literacy Information System (CALIS) on a biweekly basis;
    - performance targets are set with OAE that are achievable;
    - management ensures compliance with related federal statutes such as the Americans with Disabilities Act and various civil rights statutes;
    - program stores programmatic and fiscal records for at least 5 years (and preferably for up to 7 years) in a safe place and has information security policies that are up to industry standards;
    - actual enrollment falls within 90%-125% of planned enrollment;
    - actual expenditures are identical or close to planned expenditures;
    - pay levels and benefits are comparable to pay levels of those with similar responsibilities in local economy;
    - quarterly narrative reports are submitted on time;
    - financial documents including the Annual Financial Report are submitted on time;
    - attendance in Leadership Institutes and Lessons Learned Sessions is perfect.

V. CONTENT AND PROCESS FOR THE *CALL FOR INVESTMENT PROPOSALS FOR ADULT EDUCATION*

V.1. THE APPLICATION

V.1.1. Application Process

Grantees selected through this Call for Investment Proposals process will be eligible for a potential investment of up to 3 years with a 1-year (provisional, start-up) grant for State FY08 (federal PY 2007-2008), and a 2-year (project development) for State FY09-FY10 grant. The first year award is provisional in that it is conditional upon appropriation of funds, satisfactory performance or progress made, and (re-) authorization of applicable statutes. As for the latter, recipients of federal funds made available through the Adult Education and Family Literacy Act as part of this Call for Investment Proposals should be aware that in the event of new legislation certain new or additional procurement and performance requirements may need to be met that cannot be met through this Call for Investment Proposals. Providers receiving these federal funds through this competition to support the first year of the three-year grant period need to be further aware that – while unlikely – the funds available to the state for FY09 and FY10 may be less or eliminated.

It is the State's intent to transition after the first three years of investments to new 3-year awards (project performance) for the State FY11-FY13 period, and to the extent that statutes permit, move high performing programs to "hard" sources of funding based on a track record of high performance instead of annual competitions or grant renewal processes.

During this multi-year (1-2-3) approach, an abbreviated annual submission by grantees will focus primarily on new annual performance targets and any key changes to project approach or personnel. Again, this multi-year commitment is subject to meeting eligibility requirements, satisfactory performance, and to funding availability based upon the state legislature and (re-)authorization of applicable federal statutes.

V.1.2. Application Content

The application package consists of three (3) sections:[16]

Section A.   Overall agency description – related to proposed outcomes. *Applicants* must *submit ONLY ONE Section A per agency.* Section A must be accompanied by the required budget forms, which can be found in Attachment A of the *Part B. Application Package.*

Section B.   Outcome specific design questions including proposed targets and milestones. *Applicants* must *complete ONE Section B PER Investment Area to be addressed.* Section B must be accompanied by the required budget forms for each component, which can be found in Attachment A of the *Part B. Application Package.*

Section C.   Assurances and other eligibility requirements. *Applicants* **must** *submit ONLY ONE Section C per agency.*

As you read through these sections, you may notice some important differences between this application package and application packages you may have completed in the past. The most salient difference we want to alert you to is that <u>you will be writing a single proposal</u> that speaks to one or more priorities. In the past, you may have written separate proposals in response to separate Requests for Proposals for the various funding sources included in this *Call for Investment Proposals*. Or, you may have written several mini-proposals in response to one RFP with several built-in sub-RFPs.

While you will write one document, you will be asked to describe and estimate the costs of the different components of your investment proposal. In the event your proposal were to be selected for funding, the various State agencies that have pooled their resources will determine which funding source best fits (or which funding sources best fit) with your proposed services and outcomes. You will then receive a single award letter for your total resources including a detailed section on the funding sources to be used by you in submitting final budgets (in the event changes are recommended). The latter is necessary to satisfy accounting and auditing requirements. At that time, you may also be asked to confirm your understanding of and provide additional assurances regarding funding-specific requirements in the areas of eligibility of persons and services, allowable costs, data collection, and others. To illustrate, if you decide to provide services to FIP clients, then the general definition of eligible persons needs to be narrowed if Project Opportunity funds (TANF funds) are used. Similarly, more stringent attendance expectations than those for services for non FIP clients would apply.

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[16] We encourage applicants to review the entire document. We do not seek a lengthy or traditional proposal that focuses on the applicant agency generally or a detailed needs statement. Rather we encourage applicants to develop an outcome management approach that sets targets, aligns milestones, and shows related approaches and readiness that give a strong likelihood of project success. Brief, succinct statements highly related to presented sections are encouraged.

V.2. SUBMITTING THE APPLICATION AND CLOSING DATE

The original plus ten (10) copies of the application must be received by:

<u>3:00 p.m. on April 2, 2007</u>

Send via surface mail (no facsimile or e-mail transmission allowed) or hand deliver your application to:

<div align="center">

Office of Adult Education
c/o Call for Investment Proposals
Rhode Island Department of Elementary and Secondary Education
255 Westminster Street, 6th Floor
Providence, RI 02903

</div>

VI. SELECTION PROCESS

VI.1. Selection Process

After submission of your application proposal, we will conduct a multi-step *due diligence* selection process:

1) **Interagency Reading and Initial Review.** All proposals will be read and evaluated by a staff and interagency team using the following criteria:

2) **Staff Telephone Interview.** Applicants may be contacted and given the opportunity to answer any question reviewers may have.

3) **In-Person Interview.** After the initial screening has been made, remaining applicants may be given the opportunity to meet personally with the review team to, substantiate the submitted target plan.

4) **Verification.** The review team may contact previous participants and other outside persons familiar with the provider's work to ask for confirmation of any key claims made by the applicant during the due diligence process.

5) **Recommendations.** The Interagency Reading and Review Team will submit investment recommendations to the Commissioner of Education and the State Director of Adult Education who will review the recommendations and present them to the Governor's Workforce Board for approval. Subsequently, the investments will be submitted to the Board of Regents for endorsement. In the event an agency that submitted an investment proposal disagrees with the investment decisions, it must submit in writing to the Office of Adult Education a request for an appeal. Letters of Appeal must be received within 15 calendar days from the date of notification. This request must include a thorough justification as to why the agency believes the investment decisions were not justified. The Office of Adult Education will then schedule an opportunity for the agency to present its case to the Workforce Cabinet. The Workforce Cabinet will decide whether the appeal was justified or not. All appeal decisions made by the Workforce Cabinet will be final.

VI.2. Selection Criteria

Proposals will be evaluated based upon three (3) core elements and eight (8) specific additional proposal elements.

Core Elements (65 points – 65% of score)

The three (3) core criteria are:

1.   Alignment with and contribution to statewide outcomes (25 points) – To what extent does the proposal clearly focus on and align with statewide outcomes and present clear and verifiable targets? Proposals presenting targets and milestones as specified in this Call for Investment Proposals or those that can show a clear and substantial contribution are a high priority.

   o   To which degree has the provider established measurable goals for participant outcomes? [AEFLA, Section 231(e)(1)]

   o   Does the proposal present clear and verifiable targets that directly contribute to RIDE's investment outcomes?

   o   Are these targets substantial, and do they represent a significant positive impact on the target population?

2.   Experience and Readiness (20 points) – What is the experience and readiness to work with the target population and provide the core services referenced in this Call for Investment Proposals? Projects that show significant readiness to begin service delivery and prior extensive experience in similar services are highly preferred.

   o   What is the past effectiveness of the provider in improving the literacy skills of adults and families? What is the success of the provider, in the event the provider received AEFLA funding in the past, in meeting or exceeding (after the first year) the performance measures in Section 212, especially with respect to those adults with the lowest levels of literacy? [AEFLA, Section 231(e)(2)]

   o   What is the commitment of the provider to serve individuals in the community who are most in need of literacy services, including individuals who are low-income or have minimal literacy skills? [AEFLA, Section 231(e)(3)]

   o   Has the applicant undertaken similar projects and/or does the applicant have experience working with this target population?

   o   What has been learned from these experiences that contributes to the philosophy, approach, and key people involved in this proposed project?

   o   Has the applicant been successful with the target population? Has the applicant been able to produce positive outcomes for participants? Has the applicant provided reliable evidence that

its services enabled participants to build their skills, get high school credentials, enroll in postsecondary education or training, find, retain, or advance in jobs? Is there evidence that planned and actual enrollment and intensity (as measured by average hours of instruction received) meet minimum expectations?

3. <u>Project Design (20 points)</u> – Does the project design reflect learning from prior experience, use of best practices and research, and a clear connection to participant milestones. In short, we are looking for clearly articulated projects that reflect a keen understanding of how to reach, engage, and help the target population continue to progress despite potential obstacles to outcome achievement.

   o Are participant-focused milestones provided that link clearly to the project approach?

   o Does the design reflect a clear delivery and engagement strategy and ability to use data?

   o Has the applicant developed an approach that reflects a thorough understanding of the outcome measures sought in this Call for Investment Proposals and related best practices that should be considered?

   o Is the program of sufficient intensity and duration for participants to achieve substantial learning gains? [AEFLA, Section 231(e)(4)(A)]

   o Does the program use instructional practices such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read? [AEFLA, Section 231(e)(4)(B)]

   o Are the proposed activities built on a strong foundation of research and effective educational practice [AEFLA, Section 231(e)(5)]

   o Do the proposed activities effectively employ advances in technology, as appropriate, including the use of computers? [AEFLA, Section 231(e)(6)]

   o Do the proposed activities provide learning in real life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship? [AEFLA, Section 231(e)(7)]

   o Do the proposed activities offer flexible schedules and support services (such as child care and transportation) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs? [AEFLA, Section 231(e)(10)]

Additional Elements (35 points – 35% of score)

The additional elements to be evaluated are:

▪ <u>Understanding of the target population.</u>
   o Does the provider propose services in a community where there a demonstrated need for additional; English literacy programs in the local community?

[AEFLA, Section 231(e)(12)]

- Collaboration with other agencies.
  o Do the proposed activities coordinate with other available resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies? [AEFLA, Section 231(e)(9)]

- Experience of key staff.
  o Are the proposed activities staffed by well-trained instructors, counselors, and administrators? [AEFLA, Section 231(e)(8)]

- Commitment to quality improvement or continuous learning.
  o To which extent is the provider's committed to continuous improvement and learning?

- Understanding of how to work with outcome-based reporting and use of data.
  o Does the provider maintain a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the eligible agency performance measures? [AEFLA, Section 231(e)(11)]

- Investment Approach/Strategy
  o Are requested funds adequate and reasonable?
  o What is the extent to which the requested amount and the services supported with the requested funds align with priority considerations?

- Other value-added elements offered by the applicant.
  o Do the proposed activities represent innovation in project design and service delivery?

Each of these elements is addressed in specific questions included in the proposal format contained in either Section A or Section B. All of these elements will be given equal consideration with the exception of "Other value-added elements," which will be given up to 10 points.

The proposal will be reviewed based upon the above criteria and scoring will occur relative to the applicant's specific representations contained in their responses to Section A and B. Section C is a threshold requirement for proposal eligibility.

The above selection criteria and elements are readily evident in the sections of this Call for Investment Proposals and lend themselves to a clear, succinct, and specific response by prospective applicants.

As for adequacy and reasonableness of the requested grant amount, applicants are encouraged to request resources that represent the true cost of providing the services necessary to achieve the proposed outcomes. In reviewing the requested grant funds, adequacy will be evaluated using the construct of student instructional hourly rates. We know based on empirical data and the research done by RIDE's True Cost Work Group that all programs irrespective of size require some resources to operate their program estimated at $40,000. In addition, we know that the costs of implementing programs designs are variable and are in large part a function of intensity. Hence, we will use a student instructional hourly rate range to determine whether resources are adequate and reasonable. Prior work in this area indicates that a rate between $7.5 and $12.5 per student

instructional hour provides adequate resources to implement a quality program, supports learners and staff, and facilitates the achievement of outcomes. In the event a rate falls outside of this range, applicants will be asked to justify why the rate falls below the low end of the range or above the high end of the range. The rate will be computed by diving the total cost (not just the grant request) by the total number of student hours. For programs requesting funding for volunteer 1-on-1 tutoring, a different set of criteria will be sued to determine whether requested resources are adequate and reasonable. In addition to a similar base amount ($40,000), the number of tutor pairs will be evaluated. Programs must have at least 10 tutor pairs. If they manage between 10 and 20 tutors, they will receive an additional $10,000. For every increment of 20 tutors, an additional $10,000 will be considered adequate and reasonable. The maximum number of tutors to be supported will be 60, as no agency in the state of Rhode Island currently manages more than 60 tutors. If programs request funds that fall well below or above, a justification will be requested.

In summary RIDE will make a selection decision based upon the quality of the proposed project plan and the likelihood of success.. Applicants are strongly encouraged to develop an outcome management approach that will guide their projects post-contract vs. focusing on the writing quality of a proposal.

VI.3. Notification

If your application is selected for funding, the Office of Adult Education will notify your Representative and Senator and we will send you a Notification of Grant Award. We may also contact you and brief you informally. You will be asked to sign a Grant Agreement at that time. If your application is not selected for funding, we will notify you.

PART B. APPLICATION PACKAGE

Section A
Overall Applicant Background, Readiness, & Experience
Purpose and Table of Contents

Purpose

The purpose of Section A is to describe the Agency's overall background. In this Section A, applicants will describe their Agency's philosophy and experience undertaking similar projects for the target population. Applicants will also provide RIDE with key information about the Agency's readiness to implement the project, including the capacity to set, track, and analyze outcomes including indicators of success and/or ROI. Finally, applicants will estimate and provide a rationale for the costs of the project. Applicants should submit *ONLY ONE (1)* section A per Agency.

Table of Contents

COVER SHEET

1. Applicant Agency
Address:
Email:
Contact Person:
Executive Director:
Phone:
Fax:
Federal ID:
Tax Exempt #:

2. Request for Adult Education Investments

Investment Area	Target Population	Listing of Site(s)	# to be Served	Outcomes to Be Achieved	# to Reach Outcome (Annually)[17]	Funds ($) Requested
A.						
B.						
C.						
D.						
E.						
SUMMARY BY SKILL LEVEL # Grade level 0-8 (Includes LEP/ESL)	███	███		███	███	
# Grade level 9-12 (Includes LEP/ESL)	███	███		███	███	
# Limited English Proficient of Total	███	███		███	███	
Leadership Funds (If Applicable)	███	███		███	███	
TOTAL (UNDUPLICATED)						

3. Performance Projections

Since Program Year 2000 (State FY2001), the National Reporting System (NRS) has been the adult education program's accountability system. Each state has established a performance accountability system that meets NRS requirements and NRS data are the basis for assessing the effectiveness of states in achieving continuous improvement optimize the return on investment of federal funds [P.L. 105-220 Section 212(a)]. Rhode Island's system is called the Comprehensive Adult Literacy Information System (CALIS). The NRS and CALIS use three core indicators, identified in the Adult Education and Family Literacy Act, to assess state performance:

1. Demonstrated improvements in the literacy skill levels in reading, writing and speaking English, numeracy, problem-solving, English language acquisition, and other literacy skills.
2. Placement in, retention in, or completion of postsecondary education, training, unsubsidized employment, or career advancement; and
3. Receipt of a secondary school diploma or a recognized equivalent [P.L. 105-220, Section 212(b)(2)].

Educational Gain – The percentage of adult learners who acquire the basic or English language skills needed to complete the educational functioning level in which they were initially enrolled. To measure educational gain, the NRS established and Rhode Island adopted a hierarchy of six educational functioning levels, from beginning literacy through high school-level completion, and six levels for English literacy, from beginning literacy level to high advanced. Included for each level is a corresponding set of benchmarks on commonly used standardized assessments. *This measure is required for ALL Ride-funded adult education programs. In other words, all participants have educational gain as their annual NRS AND CALIS goal.*

High School Completion – The percentage of adult learners with a high school completion goal who earned a high school diploma or recognized equivalent. *Participants who pre-test at the ASE levels have a high school completion goal from the NRS and CALIS perspectives.*

Entered Postsecondary Education – The percentage of adult learners who establish a goal to continue their education at the postsecondary level and who entered postsecondary education or training after program exit. *A share of those with a high school completion goal will have this as a goal for the year under NRS and CALIS.*

Entered Employment – The percentage of unemployed adult learners with an employment goal who obtained a job within one quarter after program exit. *A share of unemployed participants will have this as a goal for the year under NRS and CALIS. For NRS purposes, entered employment is measured in the quarter after exit. For state accountability purposes, entered employment is measured according to NRS guidelines, as well, but, in addition, entered employment during participation is recorded.*

Retained Employment – The percentage of adult learners with a job retention goal who a) entered employment within one quarter after exiting and b) were still employed in the third quarter after program exit. *A share of employed participants will have this as a goal for the year under NRS and CALIS. For NRS purposes, retained employment is measured as stated above. For state accountability purposes, retained employment is measured according to NRS guidelines, as well, but, in addition, retained employment during participation is recorded.*

Employment or Career Advancement – The percentage of employed adult learners with a job advancement goal who entered a higher level of employment during participation, in the quarter after exit, or in any of the

next three quarters following the program exit quarter. *While career advancement is stated in the law as a measure, the way the measure is defined above is specific to Rhode Island. When Rhode Island will switch from follow-up surveys to data matching, the times of measurement will be revised. Advancement is defined as (1) an increase in pay not related to cost-of-living or seniority adjustments, (2) an expansion of job responsibilities requiring higher skill or education levels, (3) a promotion into a new job requiring higher skill or education levels, or (4) a combination of any of these changes.*

Participant Engagement and Satisfaction – The percentage of adult learners within a given year who feel engaged and satisfied. *This is a Rhode Island measure under development.*

Please, use the worksheet on the next page to summarize your proposed performance targets for all investment priorities.

ADULT EDUCATION PERFORMANCE SUMMARY

Measures	Projections			
	Total Number Enrolled (Completed 12 or more hours)	Student Hours	Number Completed Level	Percentage Completing Level
Outcome #1: Skill Gains: Completion of Educational Functioning Levels				
ABE Beginning Literacy				
ABE Beginning Basic				
ABE Intermediate Low				
ABE Intermediate High				
ASE Low				
ASE High			See Outcome #2	See Outcome #2
ESL Beginning Literacy				
ESL Beginning Low				
ESL Beginning High				
ESL Intermediate Low				
ESL Intermediate High				
ESL Advanced Low				
Total				

	Total
Outcome #2: High School Credentialing Rate	
Skills at ASE at pre-test	
Number with high school credential goal for year	
Number attaining high school credential	
Outcome #3: Enrollment in Postsecondary Education or Training	
Number with post secondary or training as a goal for year	
Number entered postsecondary education or training	
Outcome #4: Entered Employment	
Number unemployed at intake	
Number with entered employment as a goal for year	
Number entering employment in any quarter since intake	
Number entering employment In quarter after exit	
Outcome #5: Retained Employment	
Number employed at intake	
Number employed with retainment goal for year	
Number still employed at exit	
Number still employed at NRS Survey quarter	
Outcome #6: Advanced in Employment	
Number employed at intake	
Number employed with job advancement goal for year	
Number employed with wage increase goal for year	
Outcome #7: Participant Engagement and Satisfaction	
Number of Participants	
Number to Be Surveyed	
Engagement and Satisfaction Rate	

TRAINING AND WORK EXPERIENCE PERFORMANCE SUMMARY

Measures	Projections			
	Total Number Enrolled	Student Hours	Number Completed	Percentage Completing
Training				
1				
2				
3				
Total Training				
Work Experience				
1				
2				
3				
Total Work Experience				
Other				
1				
2				
3				
Total Other				

1. **Agency's Experience Undertaking Similar Projects/Working with Target Population:** Please list at least 3 projects in which your agency has delivered literacy, workforce, or related services to the target population. Please be as succinct as possible and keep your response to the space provided. <u>We are particularly interested in determining an applicant's related experience and how its recent projects demonstrate readiness to achieve the proposed targets (outcomes).</u>

    a. Project/funding source/number served/number who reached/will likely reach outcome and outcome statement/key learnings/some key project design elements:

1.	Project:	Number Served:
	Funding Source:	Number to/reach Outcome:
	Brief Synopsis:	
	Key Learnings ▪ ▪ ▪	Relation to Proposed Project

2.	Project:	Number Served:
	Funding Source:	Number to/reach Outcome:
	Brief Synopsis:	
	Key Learnings ▪ ▪ ▪	Relation to Proposed Project

3.	Project:	Number Served:
	Funding Source:	Number to/reach Outcome:
	Brief Synopsis:	
	Key Learnings ▪ ▪ ▪	Relation to Proposed Project

2. Agency Philosophy/Overall Approach – Please provide an understanding of the major assumptions that underlie your agency's work in this service area/working with this population. Does your agency have a set of guiding principles based on your strategic plan, key learnings from related projects, and/or study of evidence based practice/research? Please describe below.[18]

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[18] Please keep in mind that the above agency philosophy and/or approach should contribute to your proposed project and the outcomes that you are committed to for this proposal. A general or overall agency statement is not sought in this section.

3. Participant/Learner Outcomes – Projected number of persons to be served this year by component and the outcomes to be achieved. An example of an outcome statement would be; Of the 100 learners served, 75 will achieve a gain in Educational Functioning Levels.

Component A – All Investment Areas

Of the ___ to be served in this proposal, ___ will _____ (please refer to Table 3 in the Call for Investment Proposals in completing this statement.)

Component B – Upward Mobility and Employer Competitiveness

Of the ___ to be served in this component ___ will _____ (please refer to Table 4 in the Call for Investment Proposals in completing this statement.)

Component C – Strong Families and Communities

Of the ___ to be served in this component ___ will _____ (please refer to Table 4 in the Call for Investment Proposals in completing this statement.)

Component D – Engaged Citizens

Of the ___ to be served in this component ___ _____ (please refer to Table 4 in the Call for Investment Proposals in completing this statement.)

4. <u>Agency Readiness & Capacity</u> – Please specifically state ways in which your agency has the ability to expeditiously start, manage, and follow through on this project toward stated outcomes and what elements of your proposed approach such as key staff, partners, and other elements are now in place. Agency should also reflect on other related ingredients that drive capacity and readiness that the agency is marshalling for this project.[19] To demonstrate capacity and effectiveness, provide concrete reliable evidence that your services have enabled participants to build their skills, get high school credentials, enroll in postsecondary education or training, or find, retain, or advance in jobs. Also, offer data that provide evidence that planned and actual enrollment and intensity (as measured by average hours of instruction received) meet minimum expectations.

_____

[19] Also please provide your current readiness to work with an outcome-based contract and any agency based components you are developing/have in place that are outcome based.

5. <u>Value Added Elements</u> – What other aspects of your program might support your proposed outcomes and secondary gains?[20]

    As part of the response to this section, please comment on how your proposed project achieves/contributes to, and/or utilizes:

    ▪   Quality Improvement – an ongoing means of assessment and course correction/improvement in practice or project design.

    ▪   Effectiveness – a periodic appraisal of participant engagement, impact, and retention and what predictive factors are considered key to participant success and how this data is utilized.

    ▪   Innovation – aspects of the project that will be prototyped, what key learning is sought, and/or what innovative elements might benefit other practitioners.

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[20] If other funds are to be leveraged, wrap around services to be provided, formal collaborations that will increase access or delivery elements, etc., please succinctly describe.

6. Cost Estimate

A. Cost Breakdown

- Overall amount requested (all components) $ _____

- Number to be served/amount requested $_____

- Number to achieve outcome/amount requested $_____

- Cost/participant instructional hour $_____

AMOUNT REQUESTED						$_____
Areas of Instruction	Total To Be Served			Estimated Cost Allocation of Requested Funds		
SUMMARY BY SKILL LEVEL	Disabled	Institutionalized	Total	Disabled	Institutionalized	Total
# Grade level 0-8 (Includes LEP/ESL)						
# Grade level 9-12 (Includes LEP/ESL)						
# Limited English Proficient of Total						
Leadership Funds (If Applicable)						
TOTAL (UNDUPLICATED)						

B. Cost Recommendations

▪ Why do you as the applicant believe that this investment:

    a. Is adequate and reasonable?

    b. Will contribute to increased educational and workforce skill gains for participants?

    c. And, how will this investment leverage or be matched by other funding or resources. What is the value of these other resources?

C. Major Line Items

Subtotal amount to be used for personnel related costs: $_____
Subtotal for non-personnel expenses: $_____
Subtotal and percentage for administrative costs $_____ (__ %)

D. Budget Forms

Complete the budget and matching forms in Attachment A using the guidelines in Attachment B for your total request (all components).

Section B
Investment Area Specific Proposal
Purpose and Table of Contents

Purpose

The purpose of Section B is for the applicants to provide outcome-specific information for the proposed project. In this Section, applicants will provide measurable information that will demonstrate the projects' quality and likelihood of success. Applicants will describe the project outcome/s to be addressed and the targeted participant/learner with whom the agency will work in this area. Responses should be specific to the RIDE outcome measure Applicants should submit ONE (1) SECTION B PER OUTCOME (Investment Area) to be addressed. Therefore, if the Applicant will address multiple RIDE outcome measures (Investment Areas), then multiple Sections B must be completed and submitted.

Table of Contents

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COVER SHEET

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1. Applicant Agency
Address:
Email:
Contact Person:
Executive Director:
Phone:
Fax:
Federal ID:
Tax Exempt #:

2. Amount Requested for This Component						$_____
Areas of Instruction	Total To Be Served			Estimated Cost Allocation of Requested Funds		
SUMMARY BY SKILL LEVEL	Disabled	Institutionalized	Total	Disabled	Institutionalized	Total
# Grade level 0-8 (Includes LEP/ESL)						
# Grade level 9-12 (Includes LEP/ESL)						
# Limited English Proficient of Total						
Leadership Funds (If Applicable)						
TOTAL (UNDUPLICATED)						

Instructions:
This application includes questions that are standardized for all outcomes. Your response to the outcome-specific request is to contribute to a full understanding of your proposal so that we can assess the clarity and quality of the proposal and the likelihood of its success.

In Section B the Applicant Agency Will:

1.   Respond to a series of questions concerning the selected RIDE outcome/s (Investment Areas) to be addressed (rather than an overall agency statement: Section A) and the specifically targeted participants/learners with whom the agency will work in this area. The questions solicit an "outcome management" approach laid out by the agency.

Section B – Component Specific Details
In this section, your responses should be specific to the RIDE outcome measure (Investment Area) to which your projected results contribute. Please respond to the listed questions in the following general areas:

1.   Participants/Learners: are the individuals that your work seeks to positively change
         a.   Participant/Learner to move towards outcome.
                  1)   How many persons will you reach and engage in this component? _____

                  2)   What are the characteristics of the likely persons to be served (do not describe general eligible criteria, but rather, what are the likely ages, sex, family composition, race, ethnicity, and economic status of those you target to reach and benefit?

                  3)   What are the specific literacy, workforce and/or other barriers that participants/learners face to be addressed by this project? In subsequent sections you will be asked to project what positive gains you will achieve for how many participants/learners The estimated number or percentage of people should be indicated.

4) Please provide a brief description of a participant/learner you have worked with who typifies the characteristics described above. Please also indicate strengths or resources this participant/ possesses. Change his/her name if necessary.

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2. <u>Annual Target</u> – Similar to your presentation on the Cover Sheet/Section A, please state the projected number of persons to be served <u>and</u> how many will achieve the outcome. Please frame this in the form of an annual target with a specific means of verification. You may select from Chart III.1. Specific Priority Areas and Components in the Call for Investment Proposals or present a highly related target of your choosing with an explanation.

➢ Target 1:

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│  Of the ___ to be served by this program/component, ___ will         │
│                                                                     │
│                                                                     │
├─────────────────────────────────────────────────────────────────────┤
│  Means of Verification – We will determine how many reach the above   │
│  target through the following method and retain this documentation    │
│  (please describe) onsite.                                            │
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│  Explanation – (If not selected from Table 4):                        │
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➢ Target 2:

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│  Of the ___ to be served by this program/component, ___ will         │
│                                                                     │
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<u>Means of Verification</u> – We will determine how many reach the above target through the following method and retain this documentation (please describe) onsite.
<u>Explanation</u> – (If not selected from Table 4):

3. <u>Participant Milestones</u>

RIDE seeks to interact with grantees regarding the progress of their projects during the course of the contract period. Further RIDE believes that the principal benefit of framing and tracking outcomes is that it enables providers to better and periodically determine the effectiveness of their projects, identify emerging issues, drive key learning, and make necessary course corrections. To enable these benefits to be realized RIDE requests that agencies identify and track interim participant outcomes – <u>milestones</u> to be achieved. Milestones represent significant participant/learner steps toward the overall outcome. Examples of milestones may include; participant/learner signs agreement and enrolls, sets a goal, attends class or training, and demonstrates use of one new skill. The best milestones are predictive of success; they are what you pay attention to as your effort goes forward. Please develop and present a sequential compilation of milestones toward your target.

(Worksheet)

Participant Milestones
An Example

	Milestones	Projections
1.	(contact agency)	
2.	(first appointment held)	
3.	(enrolled/signs agreement)	
4.	(attends 1st session and completes pretest)	
5.	(participant creates short and long term goal)	
6.	(participant meets with case manager/mentor)	
7.	(completes X sessions and demonstrates_____)	
8.	(completes X sessions and demonstrates_____)	
9.	Completes program and post-test (and demonstrates _____)	
10.	Achieves X	
11.	Continues toward post-program goal (30 days)	
12.	Continues toward post-program goal (60 days)	

Participant Target: Of the _____ served by the _____ program, _____ will achieve _____ and _____.

Participant Milestones[21]

	Milestones	Projections
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
12.		
Participant Target: Of the…		

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[21] Early milestones are typically focused on participant engagement, subsequent milestones are usually related to gains obtained through the project intervention, and later milestones should indicate how participant/learner will reach and sustain gains specific to the annual target. Milestones are usually sequential and represent steps and achievements most if not all participants need to take to be successful. Milestones ask the question, "So what?" If we provide intake, assessment, counseling, instruction, and training, what will the participant do?

4.   Services/Approach[22]

    A.   What are the CORE FEATURES of your approach?

▪   Intensity/duration of your services to a given participant.

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▪   Essential elements of your design addressing the elements included in AEFLA Section 231 (e).

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▪   Comparative advantages over other approaches – why/how have you come to this design and why is it preferred?

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▪   Engagement and delivery strategy for reaching this target population.

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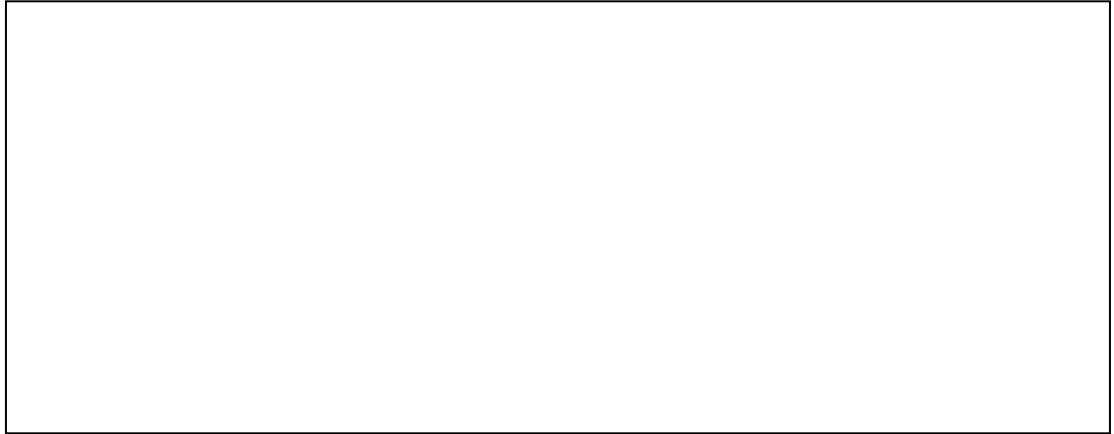
[22] This section specifically seeks information on the approach to be used to reach proposed outcomes and milestones. An overall agency description or agency overview is not to be provided in this section.

▪ Other core or unique features of your approach.

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▪ Research based/best practices to be employed.

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B.   <u>Collaborations/Partners</u> – please identify any specific and formal collaboration(s) that enable participant/learner to access multiple services, achieve a continuum of services, and/or gain, or other participant value added benefits. Collaborations for cost efficiencies may be noted here also. Please indicate who the partner is, their role or responsibility, and their level of involvement as well as the projected value of this collaboration.

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C. Please describe how your proposed approach is consistent with evidence and research or assumptions. If this approach does not rely on such practices, why does your agency believe it is effective?

[ ]

5. Key People[23]

WHO is primarily responsible for delivering the project and enabling participant/learner to reach outcomes and milestones? Please provide a brief background statement of key staff and identify their attributes, strengths, and experience in working with this population.
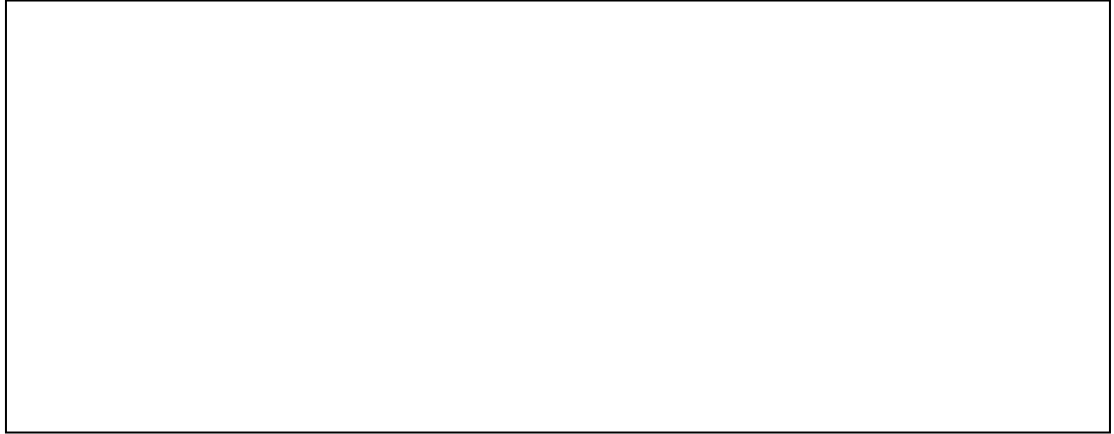
1. Key Person: _____

[ ]

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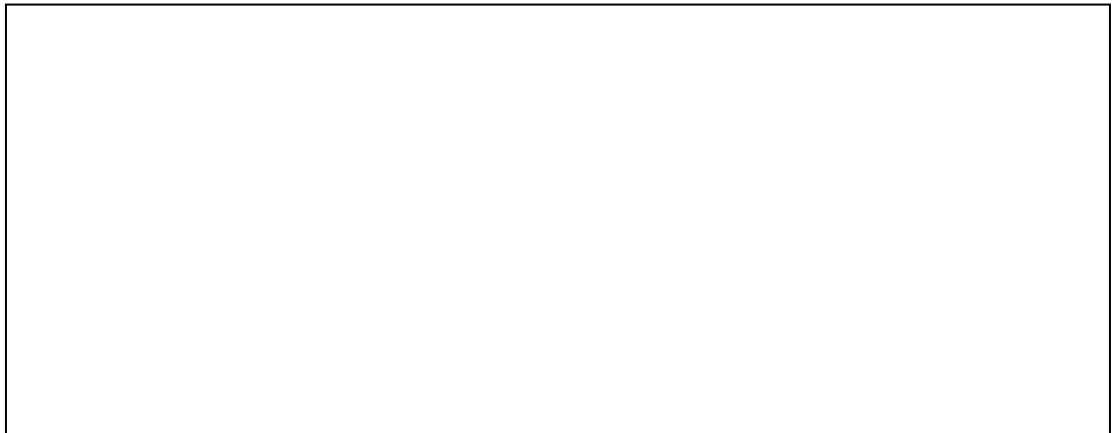
[23] The above section is intended to present more specific characteristics of key staff as to why they are best suited to manage and drive this endeavor. If staff is not known at this time, identify who will hire staff and their experience attracting and retaining outstanding personnel as well as characteristics sought through the hiring process. Include resumes.

2.   Key Person: _____

3.   Key Person: _____

6.Performance Projections

Please, use the worksheet below to summarize your proposed performance targets by component/investment priority area.

ADULT EDUCATION PERFORMANCE SUMMARY

Measures	Projections			
	Total Number Enrolled (Completed 12 or more hours)	Student Hours	Number Completed Level	Percentage Completing Level
Outcome #1: Skill Gains: Completion of Educational Functioning Levels				
ABE Beginning Literacy				
ABE Beginning Basic				
ABE Intermediate Low				
ABE Intermediate High				
ASE Low				
ASE High			See Outcome #2	See Outcome #2
ESL Beginning Literacy				
ESL Beginning Low				
ESL Beginning High				
ESL Intermediate Low				
ESL Intermediate High				
ESL Advanced Low				
Total				

	Total
Outcome #2: High School Credentialing Rate	
Skills at ASE at pre-test	
Number with high school credential goal for year	
Number attaining high school credential	
Outcome #3: Enrollment in Postsecondary Education or Training	
Number with post secondary or training as a goal for year	
Number entered postsecondary education or training	
Outcome #4: Entered Employment	
Number unemployed at intake	
Number with entered employment as a goal for year	
Number entering employment in any quarter since intake	
Number entering employment In quarter after exit	
Outcome #5: Retained Employment	
Number employed at intake	
Number employed with retainment goal for year	
Number still employed at exit	
Number still employed at NRS Survey quarter	
Outcome #6: Advanced in Employment	
Number employed at intake	
Number employed with job advancement goal for year	
Number employed with wage increase goal for year	
Outcome #7: Participant Engagement and Satisfaction	
Number of Participants	
Number to Be Surveyed	
Engagement and Satisfaction Rate	

TRAINING AND WORK EXPERIENCE PERFORMANCE SUMMARY

Measures	Projections			
	Total Number Enrolled	Student Hours	Number Completed	Percentage Completing
Training				
1				
2				
3				
Total Training				
Work Experience				
1				
2				
3				
Total Work Experience				
Other				
1				
2				
3				
Total Other				

7. Budget and Match Forms

Applicants will complete for <u>each</u> component the budget and match forms included in Attachment A using the guidelines provided in Attachment B.

Section C
Assurances

In the event your proposal were to be selected for funding, the various State agencies that have pooled their resources will determine which funding source best fits (or which funding sources best fit) your proposed services and outcomes. You will then receive a single award letter for your total resources including a detailed section on the funding sources to be used by you in submitting final budgets (in the event changes are recommended). The latter is necessary to satisfy accounting and auditing requirements.

At that time, you may also be asked to confirm your understanding of and provide additional assurances regarding funding-specific requirements in the areas of eligibility of persons and services, allowable costs, data collection, and others. To illustrate, if you decide to provide services to FIP clients, then the general definition of eligible persons needs to be narrowed if Project Opportunity funds (TANF funds) are used. Similarly, more stringent attendance expectations than those for services for non FIP clients would apply.

In this section, Section C, you are asked to review and sign the general assurances below.

Assurances

Article 1
Parties to Agreement.   This Agreement is made by and between the Rhode Island Department of Elementary and Secondary Education (RIDE) and the party specified in SECTION I A1 (the Grantee).

Article 2
Period of Performance.   This Agreement will be effective on the starting date as specified in SECTION I A2 and, unless renewed or extended, will expire on the termination date as specified in SECTION I A2. It is understood and agreed by and between the parties that this Agreement covers work and services to be provided by the Grantee for the period specified in SECTION I A2.

Article 3
Modification of Agreement.   This Agreement may be amended in accordance with Article II herein and/or may be amended or extended by mutual written consent provided that such consent may not be unreasonably withheld, and further provided, that there is a fiscal appropriation for any extension.

Article 4
Contract Officer.   The Grantee agrees to maintain close and continuing communication with the RIDE contract officer, as specified in SECTION I A3, throughout the performance of work and services undertaken under the terms of the Agreement. The contract officer is responsible for authorizing all payments made by RIDE to the Grantee under this Agreement.

Article 5
Project Officer.   The project officer, as specified in SECTION I A4, is responsible for coordinating and reporting work performed by the Grantee under this agreement.

Article 6
Delays.   Whenever the Grantee has knowledge that any actual or potential situation is delaying, or tends to delay the timely performance of work under this Agreement, the Grantee shall immediately give written notice thereof, including all relevant information with respect thereto, to the RIDE.

Article 7
Funding.   This is a cost reimbursement Agreement. In consideration of work and services performed by the Grantee in accordance with SECTION II of this Agreement, RIDE agrees to reimburse the Grantee for allowable costs incurred by the Grantee under this Agreement in an amount not to exceed the amount specified in SECTION I A6 and in accordance with estimated expenditures as set forth in SECTION III Budget. RIDE shall process all invoices within 30 days of date of invoice. All payments are provisional pending the final audit by the appropriate state and/or federal officials.

Article 8
Federal Funding Provisions.   Funds made available to the Grantee under this Agreement are or may be derived from federal funds made available to RIDE. The provisions of Article 7 and SECTION III notwithstanding, the Grantee agrees to make claims for reimbursement under this Agreement in Accordance with federal polices governing allowable costs to be charged against federal grants. The Grantee agrees that no expenditures claimed for reimbursement under this Agreement will be claimed for reimbursement under any other agreement, grant, or contract that the Grantee may hold which provides funding from state or federal

sources. The Grantee further agrees to be liable for audit exceptions that may arise from examination of expenditures: (a) claimed by the Grantee for reimbursement under this Agreement, and/or (b) submitted by the Grantee in meeting any cost participation requirements.

In executing this Agreement the Grantee is serving as grantee or independent contractor under a federal grant or contract between the federal government and RIDE. The master grants award or cooperative agreement made to RIDE by the federal government governing activities under this Agreement is, therefore, made a part of this agreement. The Grantee specifically agrees to abide by all applicable federal requirements for grantees, contractors, or independent contractors receiving federal funds including, but not limited to, those requirements set forth or referenced in the master grant or contract relating to this Agreement and in the following documents which are incorporated by reference hereto: 45CFR Part 74 (Administration of Grants); DHHS Publication OASH 90-50,000 (Grants Policy Statement) Rev. 4/94; OMB Circular A-110 (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and other Nonprofit organizations); and A-133 (Audits of Institutions of Higher Education and Other Nonprofit Organizations).

It is understood and agreed that in the event that less than full federal funding or other funding is received by RIDE due to the failure of the Grantee to comply with the terms of this agreement, the Grantee is liable to the State of Rhode Island for an amount equal to the amount of the denied funding. The amount of the denied funding shall be payable upon demand of RIDE.

Article 9
Prepayment.   Articles 7 and 8 notwithstanding, prepayment will be allowed provided that it is requested and approved under the appropriate mechanism and subsequently accounted for with proper documentation.

Article 10
Withholding of Payments.   The Grantee shall, in a satisfactory and proper manner in accordance with industry standards, complete all obligations and duties as stipulated in this Agreement. Failure of the Grantee to perform or deliver required work, services, or reports under this Agreement due to its own negligence may result in the withholding of payments by RIDE to the Grantee.

The Grantee understands and agrees that failure to meet its requirements under this Agreement may result in withdrawal of other state or federal funds that may have been made available to the Grantee hereunder, at the option of RIDE.

Article 11
Termination of Agreement.   This Agreement may be terminated upon thirty (30) days written notice by either party. In the event of termination by either party, all property and finished or unfinished documents, data, studies, and reports prepared by the Grantee under this Agreement, shall be assigned as described herein in Article 17. Notwithstanding the above, the Grantee shall not be relieved of liability to RIDE for damages sustained by RIDE by virtue of any breach of this Agreement by the Grantee; and RIDE may withhold payment to the Grantee for the purpose of setoff until such time as the exact amount of damages due to RIDE from the Grantee is determined. Notice of the effective date of termination will include the reports that must be completed. The above mentioned thirty (30) days written notice notwithstanding, RIDE expressly reserves the unilateral right to terminate, amend and/or reduce services and payments under this Agreement, effective immediately upon written notice to the Grantee, in the event that the funding underlying the participation of RIDE is limited or curtailed. Further, the Grantee agrees to hold RIDE harmless from any and all liability, which may arise as a result of the Grantee executing the terms of this Agreement

In the event of termination by either party, final payment by RIDE to the Grantee for work and services provided by the Grantee under this Agreement up to the effective date of termination shall be made in proportion to work completed and allowable expenses incurred, in accordance with the principles of cost reimbursement, agreements and contracts. Notwithstanding the foregoing, costs related to any reports required to be completed after the effective date of termination will be reimbursed.

Article 12
Recordkeeping/Inspection of Records and Reports.   The Grantee agrees to keep discrete financial records of expenditures made under this Agreement, including time records of employees whose work is to be charged in whole or in part to this Agreement; to maintain such records in accordance with standard accounting practices; to make such records available on request to appropriate state and/or federal officials for examination or audit, ensure that audits are conducted in accordance with OMB Circulars A-110 and A-133 if applicable, and to keep such records on file until the final audit of RIDE records under the federal grant funding of this Agreement, or until such time as federal provisions permit the records to be discarded. All management correspondences that accompany audit reports must be sent to RIDE. If a client served by this grant is charged for service, the Grantee must report this income.

Article 13
On-Site Inspection.   The Grantee agrees to permit on-site monitoring, evaluation, and inspection of all activities related to this Agreement by officials of the RIDE, its designee, and, where appropriate, the federal government.

Article 14
Partnership.   It is understood and agreed that nothing herein is intended or should be construed in any manner as creating or establishing the legal relation of partnership between the parties hereto, or as constituting the employees, agents, or representatives of the Grantee included in this Agreement as employees, agents, or representatives of RIDE.

Article 15
Non-liability for Personal Injuries.   The Grantee will indemnify and hold the State of Rhode Island, RIDE, and its officials harmless against any claims for injury or damage of any kind to persons or property occurring or arising during the period of this Agreement.

Article 16
Severability.   If any provision of this Agreement is held invalid, the remainder of this Agreement shall not be affected thereby if such remainder would then continue to conform to the terms and requirements of applicable law.

Article 17
Proprietorship.   RIDE and the Grantee shall be considered Joint Owners (as that term is defined by US Copyright Law) of all intellectual property including finished or unfinished documents, computer software, data studies, and reports prepared or acquired by the Grantee under this Agreement and for which reimbursement was claimed under this Agreement. RIDE will own all tangible property and equipment acquired by the Grantee under this Agreement and for which reimbursement was claimed under this Agreement. The Grantee further understands and agrees to abide by federal regulations, requirements, and policies governing the disposition of equipment or property purchased with funds made available to the Grantee under this Agreement or with funds

identified by the Grantee as matching expenditures under this Agreement.   The Grantee agrees to maintain an equipment inventory list under this Agreement and to identify related equipment properly for inspection.

Article 18
Copyright.   Reports or other documents produced in whole or in part under this Agreement shall either bear no copyright notice or indicate that the Grantee and RIDE are Joint Owners of the copyright.

Article 19
Publicity.   The Grantee will give due credit to RIDE and the appropriate state and/or federal agencies. RIDE will be credited on all media announcements, billboards, and educational materials produced or developed under the scope of this Agreement. RIDE will give due credit to the Grantee on all media announcements, billboards, and educational materials produced or developed under the scope of this Agreement.

Article 20
Interest of the Grantee.   The Grantee covenants that it presently has no pecuniary interest and shall not acquire any such interest, direct or indirect, which would conflict in any manner or degree with the performance of services required to be performed under this Agreement. The Grantee further covenants that in the performance of this Agreement no person having any such interest shall be employed.

Article 21
Civil Rights.   The Grantee agrees to abide by applicable provisions of Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973; the Age Discrimination Act of 1975 (P.L. 94-135, Title III); the Americans with Disability Act of 1990 (P.L. 101-336); all other applicable federal and state laws relating to equal employment opportunities; State Executive Order No. 19 dated 15 December 1977, State Executive Order No. 80-9 dated 24 March 1980, and State Executive Order No. 85-11. The Grantee asserts that no person shall, on the grounds of race, color, national origin, religion, sex, age, political belief, sexual preference, or handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activities undertaken in behalf of this Agreement. In addition, the Grantee agrees to establish a procedure for complaint from any person who believes that such discrimination is being practiced in any activity relating to this Agreement.

Article 22
Drug Free Workplace Policy.   The Grantee agrees to comply with the requirements of the Governor's Executive Order No. 91-14, the State's Drug Free Workplace Policy, and the Federal Omnibus Drug Abuse Act of 1988. The Grantee acknowledges that a violation of the Drug Free Workplace Policy may, at RIDE's option, result in termination of this Agreement.

Article 23
Environmental Tobacco Smoke.   The Grantee agrees to comply with Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by the entity and used routinely or regularly for the provision of RIDE day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by federal grant, contract, loan or loan guarantee. The law also applies to children's services that are constructed, operated or maintained with such funds. The law does not apply to children's services provided in private residences; portions of facilities used for inpatient drug or alcohol treatment; service providers whose sole source of applicable Federal funds is Medicare or Medicaid; or facilities where WIC coupons are redeemed.

Article 24

Subcontracts.   Any proposed subcontract under this Agreement shall be submitted to the Rhode Island Department of Elementary and Secondary Education contract officer for approval prior to execution. Failure to comply with the provisions of this article could result in denial of reimbursement for such non-approved sub contractual services.

Article 25

Lobbying. All Grantees must comply with all federal laws restricting and/or limiting lobbying activities of recipients of federal funds including but not limited to 31 U.S.C. Section 1352 and Section 503 of the Departments of Labor, RIDE and Human Services, and Education, and Related Agencies Appropriations Act (Public Law 104-209).

Article 26

Controller's Approval.   This Agreement shall take effect upon the issuance of a purchase order, cooperative agreement, and/or grant award by the State Controller.

Article 27

Licensure/Certification. The Grantee shall have any and all licenses necessary to operate his/her facility in place prior to the start date of this Agreement and for the duration of the grant period. Further, all personnel delivering RIDE care services shall be licensed/certified and/or registered as required by law.

Article 28

Additional Assurances for Adult Education. The Grantee hereby further assures the Rhode Island Board of Regents for Elementary and Secondary Education that:

All programs, services and activities covered by this application will be operated in accordance with the state and federal laws, policies, and regulations for adult education.

A. Federal funds made available will be used to supplement, and to the extent practical, increase the amount of local funds that would, in the absence of such federal and/or state funds, be made available. In no case will federal adult education funds supplant local adult education funds.

B. All appropriate reports required by the Office of Adult Education will be submitted when due (i.e., by the 15th calendar day following the end of each quarter). In addition, all required data will be entered into the Comprehensive Adult Literacy Information System (CALIS) every other week (i.e., by the first and fifteenth calendar day of each month).

C. Federal and/or state funds will not be commingled with local funds so as not to lose their identity.

D. In accordance with Title VI of the Civil Rights Act of 1964, the Adult Education and Family Literacy Act of 1998. Title IX, issued there under by the U.S. Department of Education, no individual shall, on the basis of race, color, sex, handicapping condition, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this program. In addition, active steps will be taken to eliminate sex stereotyping and sex bias and to achieve sex equity in accordance with the commitment of the Office of Adult Education.

E. It will actively participate in efforts by the Office of Adult Education to evaluate or assess the effectiveness and/or impact of this project including quarterly Leadership Institutes, Lessons Learned Sessions, Annual Performance Reviews, and onsite targeted or comprehensive program reviews.

F. All funds will be used as stipulated in the application. All requests for budget variances must be submitted to the Department in accordance with the Department's fiscal requirements.

G. This project meets with School Committee or Board of Directors approval.

I do hereby certify compliance with these assurances and that all information contained in this application is true and correct.

_____   _____

SUPERINTENDENT OF SCHOOLS   DATE
AGENCY DIRECTOR/OR
OTHER RESPONSIBLE AGENT

_____   _____

CHAIRPERSON, SCHOOL COMMITTEE/OR   DATE
GOVERNING BOARD

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transaction

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction, ""principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The Prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled. Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, O without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participants shall attach an explanation to this proposal.

NAME OF APPLICANT NAME	PR/AWARD NUMBER AND/OR PROJECT
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete).

ATTACHMENTS

ATTACHMENT A

<u>BUDGET FORMS</u>

SUMMARY OF REQUEST

SUMMARY	FY08	FY09	FY10
Total Cost (All Components Together)	$_____	$_____	$_____
Total Grant Request (90% or Less of Total Cost; Equal to Base + Design)	$_____	$_____	$_____
Base	$40,000	$40,000	$40,000
Design	$_____	$_____	$_____
Administrative Costs (Grant Request)	$_____	$_____	$_____
Rate	%	%	%
Matching Resources (10% or More of Total Cost)[24]	$_____	$_____	$_____
Rate	%	%	%
Check if Interested in Technical Assistance in the Event of Award	☐	☐	☐
Check if Interested in Participating in Net Impact Study (Up to 36-Months)	☐		

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[24] The sum of the grant request and matching resources must equal the total cost.

ADMINISTRATIVE COSTS

If the proposed Administrative Costs are greater than 5% but not greater than 10%, then justify here why between 5% and up to 10% are requested.

If the proposed Administrative Costs are greater than 10%, please submit a cost allocation plan reviewed by your auditor or accountant and a letter justifying a higher rate.

BUDGET MULTI-YEAR PROJECTS

The Applicant estimates that its budget for work to be performed under this Agreement is as follows:

Expense Category

Estimated Expenditures

Expense Category	Year 1 FY08	Year 2 FY09	Year 3 FY10
1. Personnel	0	0	0
2. Fringe Benefits	0	0	0
3. Consultant	0	0	0
4. In-State Travel	0	0	0
5. Out-of-State Travel	0	0	0
6. Printing	0	0	0
7. Office Expense	0	0	0
8. Telephone	0	0	0
9. Educational Materials	0	0	0
10. Equipment	0	0	0
11. Data Processing	0	0	0
12. Rental	0	0	0
13 Other	0	0	0
14.	0	0	0
15.	0	0	0
16.	0	0	0
17.	0	0	0
Subtotal	0	0	0
Indirect Cost	0	0	0
TOTAL	0	0	0

It is understood and agreed that the amounts indicated above for the several line items are estimates of expenditures to be incurred by the Contractor on behalf of this Agreement and to be claimed by the Award recipient for reimbursement under this Agreement. It is further understood and agreed that actual expenditures may vary from the estimates set forth above and that such variations shall not in themselves be cause for disallowance of reimbursement by RIDE; provided, however, that the Contractor shall notify and obtain the approval of the contract officer, in writing, if expenditures to be claimed for reimbursement in any line item above shall begin to vary significantly from the estimate given above; and provided further that unless permission of the contract officer shall have been obtained in advance, no expenditure shall be claimed by the Contractor for reimbursement by RIDE under this Agreement if such expenditure shall have been incurred in a line item category not listed above. Transfer of funds is permitted between Expense Categories (1) (2) and (3) up to 10% or $25,000, whichever is less; all other transfers require prior written approval by the Department of Education.

A. BUDGET DETAIL SHEET

FISCAL YEAR 2008

SALARY DETAIL

NAME	POSITION TITLE	HOURLY RATE $	NUMBER OF HOURS	TOTAL ANNUAL SALARY $
TOTAL REQUEST				$

FRINGE BENEFIT DETAIL

NAME	POSITION TITLE	PERCENTAGE OF APPLIED FRINGE BENEFIT	TOTAL ANNUAL FRINGE $
TOTAL REQUEST			$

DETAIL OF CONSULTANT

NAME	POSITION TITLE	HOURLY RATE $	NUMBER OF HOURS	TOTAL COST $
TOTAL REQUEST				$

EXPLANATION OF OTHER EXPENSES (i.e. travel, printing, office supplies, educational materials, and equipment)

EXPENSE CATEGORY	DESCRIPTION	COST

B. <u>BUDGET DETAIL SHEET</u>

FISCAL YEAR 2009

SALARY DETAIL

NAME	POSITION TITLE	HOURLY RATE $	NUMBER OF HOURS	TOTAL ANNUAL SALARY $
TOTAL REQUEST				$

FRINGE BENEFIT DETAIL

NAME	POSITION TITLE	PERCENTAGE OF APPLIED FRINGE BENEFIT	TOTAL ANNUAL FRINGE $
TOTAL REQUEST			$

DETAIL OF CONSULTANT

NAME	POSITION TITLE	HOURLY RATE $	NUMBER OF HOURS	TOTAL COST $
TOTAL REQUEST				$

EXPLANATION OF OTHER EXPENSES (i.e. travel, printing, office supplies, educational materials, and equipment)

EXPENSE CATEGORY	DESCRIPTION	COST

C. <u>BUDGET DETAIL SHEET</u>

FISCAL YEAR 2010

SALARY DETAIL

NAME	POSITION TITLE	HOURLY RATE $	NUMBER OF HOURS	TOTAL ANNUAL SALARY $
TOTAL REQUEST				$

FRINGE BENEFIT DETAIL

NAME	POSITION TITLE	PERCENTAGE OF APPLIED FRINGE BENEFIT	TOTAL ANNUAL FRINGE $
TOTAL REQUEST			$

DETAIL OF CONSULTANT

NAME	POSITION TITLE	HOURLY RATE $	NUMBER OF HOURS	TOTAL COST $
TOTAL REQUEST				$

EXPLANATION OF OTHER EXPENSES (i.e. travel, printing, office supplies, educational materials, and equipment)

EXPENSE CATEGORY	DESCRIPTION	COST

MATCH MULTI-YEAR PROJECTS

The Applicant estimates that its matching resources (which must represent at least 10% of the total cost) for work to be performed under this Agreement are as follows:

Expense Category — Estimated Expenditures

Expense Category	Year 1 FY08 Total	Year 1 FY08 Cash	Year 1 FY08 Inkind	Year 2 FY09 Total	Year 2 FY09 Cash	Year 2 FY09 Inkind	Year 3 FY10 Total	Year 3 FY10 Cash	Year 3 FY10 Inkind
1. Personnel	0	0	0	0	0	0	0	0	0
2. Fringe Benefits	0	0	0	0	0	0	0	0	0
3. Consultant	0	0	0	0	0	0	0	0	0
4. In-State Travel	0	0	0	0	0	0	0	0	0
5. Out-of-State Travel	0	0	0	0	0	0	0	0	0
6. Printing	0	0	0	0	0	0	0	0	0
7. Office Expense	0	0	0	0	0	0	0	0	0
8. Telephone	0	0	0	0	0	0	0	0	0
9. Educational Materials	0	0	0	0	0	0	0	0	0
10. Equipment	0	0	0	0	0	0	0	0	0
11. Data Processing	0	0	0	0	0	0	0	0	0
12. Rental	0	0	0	0	0	0	0	0	0
13 Other	0	0	0	0	0	0	0	0	0
14.	0	0	0	0	0	0	0	0	0
15.	0	0	0	0	0	0	0	0	0
16.	0	0	0	0	0	0	0	0	0
17.	0	0	0	0	0	0	0	0	0
Subtotal	0	0	0	0	0	0	0	0	0
Indirect Cost	0	0	0	0	0	0	0	0	0
TOTAL	0	0	0	0	0	0	0	0	0

D. <u>MATCH DETAIL SHEET</u>

FISCAL YEAR 2008

SALARY DETAIL

NAME	POSITION TITLE	HOURLY RATE $	NUMBER OF HOURS	TOTAL ANNUAL SALARY $
TOTAL REQUEST				$

FRINGE BENEFIT DETAIL

NAME	POSITION TITLE	PERCENTAGE OF APPLIED FRINGE BENEFIT	TOTAL ANNUAL FRINGE $
TOTAL REQUEST			$

DETAIL OF CONSULTANT

NAME	POSITION TITLE	HOURLY RATE $	NUMBER OF HOURS	TOTAL COST $
TOTAL REQUEST				$

EXPLANATION OF OTHER EXPENSES (i.e. travel, printing, office supplies, educational materials, and equipment)

EXPENSE CATEGORY	DESCRIPTION	COST

E.   <u>MATCH DETAIL SHEET</u>

FISCAL YEAR 2009

SALARY DETAIL

NAME	POSITION TITLE	HOURLY RATE $	NUMBER OF HOURS	TOTAL ANNUAL SALARY $
TOTAL REQUEST				$

FRINGE BENEFIT DETAIL

NAME	POSITION TITLE	PERCENTAGE OF APPLIED FRINGE BENEFIT	TOTAL ANNUAL FRINGE $
TOTAL REQUEST			$

DETAIL OF CONSULTANT

NAME	POSITION TITLE	HOURLY RATE $	NUMBER OF HOURS	TOTAL COST $
TOTAL REQUEST				$

EXPLANATION OF OTHER EXPENSES (i.e. travel, printing, office supplies, educational materials, and equipment)

EXPENSE CATEGORY	DESCRIPTION	COST

F.   <u>MATCH DETAIL SHEET</u>

FISCAL YEAR 2010

SALARY DETAIL

NAME	POSITION TITLE	HOURLY RATE $	NUMBER OF HOURS	TOTAL ANNUAL SALARY $
TOTAL REQUEST				$

FRINGE BENEFIT DETAIL

NAME	POSITION TITLE	PERCENTAGE OF APPLIED FRINGE BENEFIT	TOTAL ANNUAL FRINGE $
TOTAL REQUEST			$

DETAIL OF CONSULTANT

NAME	POSITION TITLE	HOURLY RATE $	NUMBER OF HOURS	TOTAL COST $
TOTAL REQUEST				$

EXPLANATION OF OTHER EXPENSES (i.e. travel, printing, office supplies, educational materials, and equipment)

EXPENSE CATEGORY	DESCRIPTION	COST

ATTACHMENT B

GENERAL BUDGET AND ALLOWABLE COSTS GUIDELINES

ALLOWABLE COSTS AND GENERAL GUIDELINES FOR ALLOCATING BUDGET LINE ITEMS FOR RIDE GRANTS			
LINE ITEM DESCRIPTION	ADMINISTRATION	PROGRAM	EXCEPTIONS
Salaries (Series 100)			
Teachers / Instructors - ABE / ESOL / Family Literacy / Work Skills		100%	
Tutors/Aides		100%	
Substitute Teachers		100%	
Curriculum Writer/Developer		100%	
Technology Support Staff	Agency/general support	Student/teacher support	Per cost allocation plan
Support Services Counselors/Case Managers		% Allocation	
Job Developers		100%	
Outreach/Recruitment staff		% Allocation	
Admissions/Intake/Eligibility Screening staff		100%	
Testing/Assessment Staff		100%	
Education / Employability Planning Counselors		100%	
Retention & Post-Placement Follow-up Support staff		100%	
MIS Data Entry Staff	for finance/general	for student data	per cost allocation plan
Clerical/Secretarial Staff	100%		
Technical Staff	% allocation	% allocation	per cost allocation plan
Program Coordinators/Directors	% allocation	% allocation	per cost allocation plan
Executive Director/CEO	% allocation	% allocation	per approved cost allocation plan
Bookkeeping / Accounting / Budgeting staff	100%		
Financial Reporting - internal & external	100%		
HR Manager/Director	100%		
Employee Benefits (Series 200)			

ALLOWABLE COSTS AND GENERAL GUIDELINES FOR ALLOCATING BUDGET LINE ITEMS FOR RIDE GRANTS

LINE ITEM DESCRIPTION	ADMINISTRATION	PROGRAM	EXCEPTIONS
FICA	Per salary allocation	Per salary allocation	Per cost allocation plan
Unemployment Insurance	Per salary allocation	Per salary allocation	Per cost allocation plan
Health & Dental Insurance	Per salary allocation	Per salary allocation	Per cost allocation plan
Workers' Compensation Insurance	Per salary allocation	Per salary allocation	Per cost allocation plan
Defined Benefit Pension Plan Contributions	Per salary allocation	Per salary allocation	Per cost allocation plan
Life/Disability Insurance	Per salary allocation	Per salary allocation	Per cost allocation plan
Accrued Leave Benefits	Per salary allocation	Per salary allocation	Per cost allocation plan
Purchased Services (Series 300)			
Contracted Professional Services	general agency	direct student services	purpose defines allocation
Sub-awards - collaborative program partners		100%	
Audit Services	100%		
Accounting Services	100%		
Payroll Services	100%		per salary allocation
Database Design & Development	100%		
Corporate Legal Services	100%		
Professional Development / Trainers/ In-Service	100%		
Computer, other technical assistance	network/admin CPUs	Class & program CPUs	purpose/user defines allocation
Student Assessment Services		100%	
Child Care / Other Student Support Services		100%	
Student Workshop Presenter Fees	% allocation	100%	per cost allocation plan
Space Costs: utilities/maintenance/repairs/cleaning services	100%	% allocation	per approved cost allocation plan

ALLOWABLE COSTS AND GENERAL GUIDELINES FOR ALLOCATING BUDGET LINE ITEMS FOR RIDE GRANTS

LINE ITEM DESCRIPTION	ADMINISTRATION	PROGRAM	EXCEPTIONS
Space Rental	100%	% allocation	per approved cost allocation plan
Insurance - property and liability (premiums only)	100%	% allocation	per approved cost allocation plan
Insurance - professional liability (premiums only)	100%	% allocation	per salary allocation
Insurance -workers' compensation: contractors/other compensated individuals	% allocation	% allocation	per approved cost allocation plan allocated per contractor function
Equipment Lease/Maintenance	% allocation	% allocation	per approved cost allocation plan
Membership Dues (individuals)/ journal/periodical subscriptions	% allocation	% allocation	per salary allocation
Recruitment / advertising	Staff/volunteers	Staff/volunteers/students	Per salary allocation; purpose
Student Transportation: RT to classes, education related services		100%	
Student Field Trip transport/Vehicle Rental/Admission fees		100%	
Tuition / Training fees - college/vocational training programs		100%	
Uniforms, tools, other work-required supplies/equipment		100%	
Printing/photocopying/publication services	general agency	direct student services	purpose defines allocation
Telephone/fax	% allocation	% allocation	per approved cost allocation plan
Internet Service	% allocation	% allocation	per approved cost allocation plan
Postage & Delivery	% allocation	% allocation	per approved cost allocation plan
In-state Staff Travel	general agency	direct student services	purpose defines allocation
Conference Travel: registration, food, lodging, air/ground transport	Board/admin staff training	Program staff training	Purpose determines allocation
Supplies and Materials (Series 400)			
Textbooks, workbooks, readers		100%	
Testing / Assessment supplies		100%	
Education Software - non-capitalized		100%	

ALLOWABLE COSTS AND GENERAL GUIDELINES FOR ALLOCATING BUDGET LINE ITEMS FOR RIDE GRANTS			
LINE ITEM DESCRIPTION	ADMINISTRATION	PROGRAM	EXCEPTIONS
Instructional Supplies, e.g., videos, DVDs, Calculators, etc.		100%	
Small equipment-non-capitalized (less than $ _____ value)a	% allocation	% allocation	purpose determines allocation
Event Supplies (certificates, food, other)	% allocation	% allocation	purpose determines allocation
Office Supplies: paper, pens, pencils, etc.	% allocation	% allocation	purpose determines allocation
Equipment Purchases (Series 500)			
Computers	% allocation	% allocation	use and location determine
Copier/other capitalized equipment (of $ ____value or more)	% allocation	% allocation	use and location determine
Furniture	% allocation	% allocation	use and location determine
Vehicles	% allocation	% allocation	use and location determine
Reference books, e.g., encyclopedias (of $ ____value or more)		100%	
Other Objects (Series 600) Anything not included in the categories above			

NOTES:
An approved cost allocation plan will have been prepared in consultation with the grantee's auditor or independent accountant and will include an explanation of the method(s) for allocating all allowable expenditures between Administration and Program (both direct and indirect costs). This cost allocation description will provide the supporting rationale for the grantee's budget requests for Administration and Indirect Costs within the maximum percentage allowance set by RIDE.

If an organization cannot or does not submit an agency cost allocation plan, they may negotiate with RIDE or accept whatever percentage cap is determined by RIDE.

Unallowable Costs according to OMB Circular A-122 include lobbying, alcoholic beverages, bad debts, entertainment, certain advertising, bad debts, fines, penalties and
fundraising.

While an approved cost allocation plan will provide the basis for an individual organization's budgeting process, here are some general guidelines:

Series 100: * Personnel Time may be allocated between Administration and Direct Program costs with a RIDE approved cost allocation plan and justification,
provided that the allocation is supported by auditable time records.
Series 200: Employee Benefits are allocated on the same basis as salaries.
Series 300: Purchased Services may be allocated directly to Administration, Program or a combination based upon an approved allocation method that
may consider time allocation of personnel, the purpose and intended recipient/beneficiary of the services, square footage of space and personnel assigned, etc.
Series 400: Student Education supplies and materials are a direct program expense; other supplies and small/non-capitalized equipment may be allocated to
Administration, Program or a combination based upon an approved allocation method that considers the user of the supplies, their time allocation, purpose, etc.
Series 500:   Equipment Purchases may be allocated in a manner similar to those items under Series 300. Individual organizations may have internal policies re: their dollar value limits for capitalization of equipment, however, these are the RIDE guidelines (dollar values to be provided by RIDE).

ATTACHMENT C

ADULT EDUCATION AND JOB TRAINING TAX CREDITS

Rhode Island has several education and training tax credits that may be of interest to applicants,
as they consider designing programs to assist Rhode Island workers in building their skills.

RI Adult Education Tax Credit

The RI Adult Education Tax Credit allows for both worksite and non-worksite vocational training or basic education.

Eligibility

The program must be designed to alleviate illiteracy and provide opportunities for academic achievement up to grade 12.

Examples include: reading, science, writing, arithmetic, social studies, pre-vocational subjects, English as a Second Language

 (ESL), and GED preparation.

Overview

o   Tax credit of 25% of the costs incurred up to $300 per employee and $5,000 per employer.
o   Credit is not refundable.
o   Must file with the Division of Taxation by the end of the calendar year.

Application Process

1. Contact the RI Division of Taxation at 222-1111 and request tax form RI 6324 - Adult Education Tax Credit.

2. For the tax year, file the completed Adult Education Tax form along with the business' tax return.

Contacts/Resources
Program Information:
RI Dept. of Labor and Training, Employer
Service Unit 1-888-616-5627
Tax Information: RI Div. of Taxation 222-1111
(Form RI 6324)

RI Jobs Training Tax Credit

The RI Jobs Training Tax Credit is designed to encourage all Rhode Island businesses to upgrade

the skills of their workforce.

<u>Overview</u>

o   50% credit up to $5,000 per employee over three years.
o $1,000 of the training expenses can be based on employee's wages.
o   No credit will be granted without the prior approval of HRIC.

Training dollars expended and taken as a credit under other state tax programs are not eligible for this tax credit.

<u>Eligibility</u>

Employer: All for-profit RI businesses except certain professional services such as medical, legal, accounting, engineering, and other similar services.

Employee: Generally cannot earn more than $80,000. Must work at least 30 hours per week at the time of training and for 18 months upon completion of training. Must earn 150% of RI minimum wage upon completion of training.

Training: Qualified training programs are those that build the skills necessary to improve work performance. Orientation programs, general health programs, and seminars or conferences not directly related to the employee's job description do not qualify. Training must take place in Rhode Island unless training is not available in the state or the training is available at a lower price out of state.

<u>Application Process</u>

1. Contact HRIC for Application Package.
2. Complete application and return to HRIC at 1511 Pontiac Avenue, Cranston, RI 02920.
3. HRIC approves training program.
4. Employer starts training program within six months of approval.
5. Employer files tax credit with copy of HRIC approval letter along with RI State Tax Form.

For more info on these and other tax credits, go to:
http://www.rihric.com/hrictaxcredits.htm#RI%20Adult%20Education%20Tax%

ATTACHMENT D

<u>REQUIREMENTS OF SELECTED FUNDING STREAMS</u>

TEMPORARY ASSISTANCE TO NEEDY FAMILIES

Purpose	To assist welfare recipients in making the transition from public assistance to work.
Priorities	30 hours per week of non-traditional programming, wrapping adult education around work activity
Eligibility	• Current FIP client or FIP eligible. • Eligible agencies, as described in Call for Investment Proposals, *Section II. Givens.*
Funding	• Federal TANF funds • State General Revenue funds
Fund Use	DHS, using federal TANF funds, and in compliance with federal (TANF) and state (FIA) laws, seeks adult education providers, singly or in collaborative partnerships, with capacity to deliver the following: 1. 10+ hours of adult education programming that complements 20+ hours of work activities (unsubsidized employment, including on-the-job training, paid or unpaid work experience, supervised training at a work site, including DHS work supplementation, vocational education, and community service for individuals not otherwise able to obtain employment); 2. 20+ hours of work activities (for FIP parents who are not already so engaged at referral), as a prerequisite to 10+ hours of adult education*; 3. open enrollment for FIP parents 4. year-round programming 5. case management services that are responsive to DHS TANF/FIP rules and that support and facilitate the goal of family self-sufficiency 6. bi-weekly reporting of participant hours of attendance each day; 7. monthly (or sooner, if needed) reporting of participant progress or change in status; 8. quarterly reporting of numbers enrolled, in service, terminated (for what reasons), or completing (with what credential or level of achievement); 9. annual reporting of participants served in the federal fiscal year, such reports consisting of unduplicated names, SSN or case identification, beginning and ending dates of service (may be derived from RIDE database).
Project Duration	• July 1, 2007 – June 30, 2010 • Annual grant awards. Grants renewable based on availability of funds and satisfactory performance
Additional Requirements/ Considerations	Current state law (FIA) permits FIP parents with low literacy and/or non-English speakers to undertake adult education for their full required hours (20 or 30 per week, depending upon the age of the youngest child) if they are otherwise unable to obtain employment and until such time as they are able to secure employment. Current federal law discounts adult education unless the parents are first engaged for 20 hours per week in work activities, regardless of the age of the youngest child. The majority of FIP parents are expected to benefit most from a 20-10 combination of work-adult education activities.

ELEMENTARY AND SECONDARY EDUCATION ACT, <u>TITLE I, PART B, SUBPART 3</u> - WILLIAM F. GOODLING EVEN START FAMILY LITERACY PROGRAMS

Purpose	Break the cycle of poverty and illiteracy by – improving the educational opportunities of the Nation's low-income families by integrating early childhood education, adult literacy or adult basic education, and parenting education into a unified family literacy program.

Priorities	Establishing a program that shall:
	  Be implemented through cooperative projects that build on high-quality existing community resources to create a new range of services;
	  Promote the academic achievement of children and adults;
	  Assist children and adults from low-income families to achieve challenging State content standards and challenging State student achievement standards; and
	  Use instructional programs based on scientifically-based reading research and addressing the prevention of reading difficulties for children and adults.

Goal	The program has three goals: (a) to "help parents improve [family] literacy or basic education skills," (b) to "help parents become full-time partners in educating their children," and (c) to "assist children in reaching their full potential as learners" (U.S. Department of Education, 1998).
Participant eligibility	Parent or parents who are eligible for participation in adult education or who are within the State's compulsory school attendance age range, and their children from birth through 8 year- of-age.
Agency eligibility	• Eligible agencies, as described in Call for Investment Proposals, *Section II. Givens.* • Agencies that were at the end of their Title I Even Start funding cycle in FY07 are encouraged to submit an application in response to this Call for Investment Proposals. • Agencies that are currently receiving Title I funds from RIDE for an Even Start Family Literacy Program and that are not at the end of their multi-year funding cycle are not expected to submit an application for continuation of their Title I Even Start funding in response to this Call for Investment Proposals.
Funding	Federal Elementary And Secondary Education Act, <u>Title I, Part B, Subpart 3</u> funds
Fund Use	Even Start is a unified family literacy program that integrates early childhood education, adult literacy and adult basic education, an<u>d</u> <u>parenting education. Even Start has fifteen required program elements:</u> 1.Identifying and recruiting families most in need of services as indicated by low income, low level of adult literacy or English language proficiency of the eligible parent or parents, and other need-related factors; 2.Screening and preparing parents, including teenage parents and children for full participation in the activities and services provided by the program, including testing, referral to necessary counseling, other developmental and support services, and related services; 3.Designing programs and providing support services (when unavailable

from other sources) necessary for participation and appropriate to the participants' work and other responsibilities, including:
- • Scheduling and locating services to allow joint participation by parents and children;
- • Child care for the period that parents are involved in the program provided for through Even Start funds; and
- • Transporting parents and their children to enable participation in the Even Start program;

4. Establishing high-quality intensive instructional programs that promote adult literacy and empower parents to support the educational growth of their children and prepare them for success in regular school programs;

5. Assuring staff who are paid in part or in full with Even Start funds are highly qualified, as defined:
- • All new personnel hired after December 22, 2000 and by December 22, 2004, the majority of the individuals providing academic instruction in existing Even Start programs, shall have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary or secondary school education, or adult education; and if applicable, meet qualifications established by the State for early childhood education, elementary or secondary school education, or adult education provided as part of an Even Start program or another family literacy program.
- • The individual responsible for administration of family literacy services provided with federal Even Start funds has received training in the operation of a family literacy program, and
- • Paraprofessionals who provide support for academic instruction have a high school diploma or its recognized equivalent;

6. Providing special training to staff, including child care staff, that develops the skills necessary to work with parents and young children in the full range of instructional services offered as part of the Even Start program;

7. Providing and monitoring integrated instructional services to participating parents and children through home-based programs;

8. Operating on a year-round basis, including the provision of instructional and enrichment services during the summer months;

9. Coordinating programs assisted under Even Start funding with programs assisted under other parts of The No Child Left Behind Act, the Adult Education and Family Literacy Act, the Individuals with Disabilities Education Act, Title I of the Workforce Investment Act of 1998 (job training), and with the Head Start program, volunteer literacy programs, and other relevant programs;

10. Using instructional programs based on scientifically based reading research for children and adults, to the extent such research is available;

11. Encouraging participating families to attend regularly and to remain in the program a sufficient time to meet their program goals;

12. Including reading readiness activities for preschool children based on scientifically-based reading research, to the extent available, to ensure children enter school ready to learn to read;

13. When applicable, promoting the continuity of family literacy to ensure that individuals retain and improve their educational outcomes;

	14. Ensuring that the program will service those families most in need of Even Start and services; and 15. Providing an independent local program evaluation to be used for program improvement.
Project Duration	• July 1, 2007 – June 30, 2010 • Annual grant awards. Grants renewable based on availability of funds and satisfactory performance
Additional Requirements	▪ Select number of families in line with resources (per family RIDE investment between $6,000 and $9,000. ▪ Developmental testing/screening of children birth to 4 years of age, as before. There will be no obligation to report to RIDE on that age group. ▪ Do the required federal testing: PPVT and PALS-PreK for four-year-olds entering K next year. ▪ Use the Parent Educational Profile, Scale #2 for parent participants. ▪ Use either the TABE, CASAS, or BEST to test adults and use test scores and the Educational Functioning Levels associated with pre- and post-test scores for reporting purposes. ▪ Pre- and post-test 70% or more of adults. ▪ Set goal for each adult/family that can be achieved within a program year. ▪ Increase emphasis on employment or postsecondary-education goals and activities where feasible. Regulations governing the Even Start Family Literacy Program can be found on at the U.S. Department of Education's website at http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html. These regulations include: Title 34 CFR Parts 74 (fiscal agents that are institutions of higher education and non-profit organizations) 75 (for Direct Grant Programs), or 76 (for State Administered Programs), and 77, 79, 80 (for grantees and fiscal agents that are SEAs, LEAs, or Indian tribes or tribal organizations), 81, 82, 85, 86, and 99, and (EDGAR).

TRADE ADJUSTMENT ASSISTANCE ACT

Purpose	The Trade Adjustment Assistance (TAA) Program assists workers who have lost their jobs as a result of increased imports or shifts in production out of the United States.
Eligibility	The Trade Adjustment Assistance Program is an entitlement program. However, individual eligibility must be met to receive TAA Services and Benefits. To be approved for training, individuals must also meet the following criteria: • There is no suitable employment • The individual would benefit from training • There is reasonable expectation of employment following completion of the training plan • Training is reasonably available to the worker • The individual is qualified to undertake and complete the training • Such training is suitable and available at reasonable cost Certified individuals may be eligible to receive one or more program benefits and services depending on what is needed to return them to employment. Training is one of the services provided to certified workers who do not have the skills to secure suitable employment in the existing labor market. Training is targeted to a specific occupation and provided to help certified workers secure employment at a skill level similar to or higher than their layoff employment, and sustain that employment at the best wage available. Based on the individual's existing skills and labor market conditions, training will be of the shortest duration necessary to return the individual to employment, with a maximum duration of 104 weeks. Individuals who require remedial education in order to complete occupational training may be eligible for an additional 26 weeks of training. Remedial Education consists of: • Adult Basic Education (ABE) • Remediation • General Education Development (GED) Instruction and Testing • English as a Second Language (ESL)
Funding Source	Training is funded by the Trade Adjustment Assistance Program, a Federal Program administered by the U.S. Department of Labor, Employment and Training Administration.
Fund Use	Training must be at a reasonable cost; this means that training will be considered from the Vendor with the lowest cost; when all cost being considered; including the quality, content, and results obtained.

	Vendor Requirements: • Provide Books, Workbooks, and Assignments • Multi Level ESL class availability; including Literacy, Beginner, Intermediate, and Advanced classes • Remediation class availability for High School Grads with Low TABE Scores • GED class availability for all levels • Initial Testing to determine appropriate levels for ESL, Remediation, and GED • Periodic testing, no less than every 3 months, to determine academic progress • Bi-weekly Attendance record keeping • Education provided should progress student to their highest academic achievement • Education provided should progress students to Occupational Skill training, if appropriate • 20+ hours per week of classroom instruction required • Reports should be available indicating any change in the student's status, such as; completions, withdrawals, advances to skill training, or returned to work information if available • Certificates of completion should be awarded to students for each ESL or Remedial level completed, as well as to successful GED candidates. • Reports for specific time periods as needed, which indicate the number of students enrolled, completed, and terminated with start and end dates of service.
Project Duration	• July 1, 2007 – June 30, 2010 • Annual grant awards. Grants renewable based on availability of funds and satisfactory performance

ATTACHMENT E

<u>SELECTED RESEARCH/BEST PRACTICES PUBLICATIONS</u>

SELECTED RESEARCH/BEST PRACTICES PUBLICATIONS

Chenven, Laura, (2004, May). *Getting to Work: A Report on How Workers with Limited English Skills Can Prepare for Good Jobs*, AFL CIO Working for America Institute.

Condelli, Larry (2005). *Effective instruction for adult ESL literacy students: Findings from the What Works Study*. American Institutes for Research.
http://www.cal.org/caela/esl_resources/bibliographies/literacy.html

Gittleman, Julia, (2005, June). *The New England ABE-To-College Transition Project Evaluation Report,* New England Literacy Resource Center.

Hughes, Katherine L., Merchur Karp, Melinda, Fermin, Barenda & Bailey, Thomas R., (2005, October). *Pathways to College Access and Success*, Washington, DC: Office of Vocational and Adult Education, U.S. Department of Education. .

Jenkins, P.S. (2001). *Findings and Recommendations from Current Research and Writings on Family Literacy*, Goodling Institute for Research in Family Literacy, Penn State.

Kruidenier, John (2002). *Research-Based Principles for Adult Basic Education Reading Instruction*. RMC Research Corporation.[25]

Martinson, Karen, Strawn, Julia (2003, April). *Built to Last: Why Skills Matter for Long Run Success In Welfare Reform,* Center for Law and Social Policy.

McShane, Susan (2005). Applying Research in Reading Instruction for Adults: First Steps for Teachers. National Institute for Literacy and National center for Family Literacy.

Soricone, Lisa (2006, October). *Integrating Adult Basic Education and Occupational Training: A Review of Research and Practice*, Commonwealth Corporation.

Spruck Wrigley, Heide, Richer, Elise, Martinson, Karin, Kubo, Hitomi and Strawn, Julie (2003). *The Language of Opportunity: Expanding Employment Prospects for Adults with Limited English Skills, Center for Law and Social Policy.*

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[25]   The Student Achievement in Reading (STAR) pilot project translates this research base into tools for classroom instructors.
http://www.startoolkit.org/

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